



**City of St. Helena
Special City Council Meeting
Tuesday, May 19, 2026 @ 6:00 PM
Vintage Hall Board Room - Second Floor
465 Main Street, St. Helena CA**

PLEASE NOTE: Any person who wishes to speak regarding an item on the agenda or make a comment under the "Public Forum" portion of the agenda may do so, but please observe the time limit of four minutes.

The City Council meeting will be live-streamed on Comcast Channel 28 and on the City's website.

Public comment for City Council meetings will be accepted via email via to publiccomment@cityofsthelelena.gov. All public comments must be received three hours prior to the meeting. All other public comments received after the deadline will be attached to the item the next business day or soon thereafter. Public comments will not be read out loud but will be publicly available and attached to the online City Council agenda.

To ensure interpreters are available, requests must be made at least 72 hours in advance by calling the Office of the City Clerk at (707) 968-2640 or emailing cityclerk@cityofsthelelena.gov.

The schedule of upcoming meetings and published meeting agendas can be found on the City of St. Helena website at cityofsthelelena.gov.

Servicios de interpretación en español durante la reunión pueden ser solicitados por el público. Para asegurar que los intérpretes estén disponibles, los servicios tienen que ser solicitados al menos 72 horas antes de la reunión llamando a la oficina de la Secretaria de la Ciudad al (707) 968-2640 o por correo electrónico a cityclerk@cityofsthelelena.gov.

El horario de las reuniones publicadas y próximas puede ser localizado en el sitio de web de la Ciudad en cityofsthelelena.gov

1. CALL TO ORDER

2. ROLL CALL

Mayor: Paul Dohring, Vice Mayor: Michelle Deasy, City Council Members: Aaron Barak, Kate Spadarotto

3. PLEDGE OF ALLEGIANCE

4. ADOPTION OF THE AGENDA

5. PUBLIC FORUM

Under California law, public comments at special meetings are limited to subjects on the agenda only. Therefore public comment will take place during consideration of the item. Each person's comments shall be limited to 4 minutes.

6. NEW BUSINESS

6.1. Blackberg Group — Efficiency and Business Transformation Study Final Report

CEQA Determination: Not a CEQA Project (CEQA Guidelines §15378)

Prepared By: James McCann, Interim City Manager, Andrew Bradley, Program Manager (City Clerk)

Recommendation: Receive and file the Efficiency and Business Transformation Study; receive the Consultant's presentation; and provide direction to staff on next steps, including continued evaluation of the study's findings and development of a proposed implementation plan to be brought back to City Council at a future meeting.

7. ADJOURNMENT

The next Regular City Council meeting is scheduled for May 26, 2026 at 6 p.m.

This agenda was posted at City Hall, 1088 College Avenue, and at Vintage Hall, 465 Main Street, St. Helena, California on May 13, 2026.

Andrew Bradley, City Clerk

In Compliance with the Americans with Disabilities Act, if you need special assistance to participate in this meeting, please call the City Clerk's Office (707) 967-2792. Notification 72 hours prior to the meeting as required by Section 202 of the Americans with Disabilities Act will enable the City to make reasonable arrangements to ensure accessibility to this meeting.

CHALLENGING DECISIONS OF CITY ENTITIES

The time limit within which to commence any lawsuit or legal challenge to any quasi-adjudicative decision made by the City of St. Helena is governed by Section 1094.6 of the Code of Civil Procedure, unless a shorter limitation period is specified by any other provision, including without limitation Government Code section 65009 applicable to many land use and zoning decisions, Government Code section 66499.37 applicable to the Subdivision Map Act, and Public Resources Code section 21167 applicable to the California Environmental Quality Act (CEQA). Under Section 1094.6, any lawsuit or legal challenge to any quasi-adjudicative decision made by the City must be filed no later than the 90th day following the date on which such decision becomes final. Any lawsuit or legal challenge, which is not filed within that 90-day period, will be barred. Government Code section 65009 and 66499.37, and Public Resources Code section 21167, impose shorter limitations periods and requirements, including timely service in addition to filing.

If a person wishes to challenge the above actions in court, they may be limited to raising only those issues they or someone else raised at the meeting described in this notice, or in written correspondence delivered to the City of St. Helena, at or prior to the meeting. In addition, judicial challenge may be limited or barred where the interested party has not sought and exhausted all available administrative remedies.

SUPPLEMENTAL MATERIAL RECEIVED AFTER THE POSTING OF THE AGENDA

Any supplemental writings or documents distributed to a majority of the City Council regarding any item on this Agenda, after the posting of the Agenda, will be available for public review in the City Clerk's Office located at 1088 College Avenue, St. Helena, California, during normal business hours and by appointment. In addition, such writings or documents will be made available on the City's website at cityofsthenelena.gov and will be available for public review at the respective meeting.



Agendas Report to the Special City Council

Agenda Section: NEW BUSINESS

Department: Admin

DATE:	May 19, 2026
FROM:	James McCann, Interim City Manager, Andrew Bradley, Program Manager (City Clerk)
SUBJECT:	Blackberg Group — Efficiency and Business Transformation Study Final Report
RECOMMENDED ACTION:	Receive and file the Efficiency and Business Transformation Study; receive the Consultant's presentation; and provide direction to staff on next steps, including continued evaluation of the study's findings and development of a proposed implementation plan to be brought back to City Council at a future meeting.
PREVIOUS COUNCIL ACTION:	• On January 28, 2025, the City Council was presented with a staff report listing actions staff had already undertaken to enhance efficiency and improve processes, and • Recommended the City utilize a consultant to explore additional opportunities for efficiency and business transformation. (Item 13.2 - https://sthelenaca.portal.civicclerk.com/event/850/files/agenda/873) • An RFP was released on March 28, 2025, with responses due by April 25, 2025. On June 10, 2025, City staff recommended Matrix Consulting Group complete the study for \$90,000. City Council asked to re-interview the top two consultants (Matrix Consulting Group and Blackberg Group) before making a decision. (Item 13.1 - https://sthelenaca.portal.civicclerk.com/event/879/files/agenda/902) • On July 22, 2025, the City Council approved an agreement with Blackberg Group to conduct the study for \$100,000. (Item 10.3 - https://sthelenaca.portal.civicclerk.com/event/884/files/agenda/907)
STATEMENT OF THE PURPOSE:	The purpose of this item is to present the findings of the Efficiency and

	Business Transformation Study and initiate City Council review and direction on potential next steps.
FINANCIAL IMPACT:	None at this time, but the implementation of recommendations within the report would have financial impacts.
CEQA DETERMINATION:	Not a CEQA Project (CEQA Guidelines §15378)

BACKGROUND:

The City commissioned the Efficiency and Business Transformation Study to assess current operations, identify inefficiencies, and develop actionable recommendations across organizational structure, processes, financial management, and technology. The study was conducted over several months and includes multiple deliverables, culminating in a Final Report with a phased implementation roadmap.

DISCUSSION:

The report is complex, comprehensive and far-reaching. I believe many of the findings and recommendations have merit and that the organization and community would benefit from their adoption and implementation. The report offers candid criticism of some of the City's practices and identifies areas where improvement or change is needed; we should welcome and will examine these findings and recommendations and explore how best to adopt and implement elements which enhance the efficiency and effectiveness of the City.

The study identifies a range of opportunities to enhance City operations, including improvements to process standardization, performance measurement, technology utilization, and organizational structure and alignment. Many recommendations are interconnected and designed to be implemented in phases over time. City Council and staff will continue reviewing the full set of materials to determine feasibility, resource requirements, and prioritization of implementation efforts. Given the scope and complexity of the recommendations, this process is expected to take several months. Staff anticipates returning to City Council in August with a proposed implementation plan. However, this timeline may be adjusted based on the recruitment of a new City Manager and overall organizational capacity.

ENVIRONMENTAL REVIEW:

None.

GOAL:

Goal 1: Strengthen Financial Sustainability

Goal 7: Enhance Organizational Effectiveness

ATTACHMENTS:

1. Presentation
2. RFP - Efficiency and Business Transformation FINAL 03.27.25

3. RFP Response - Blackberg Group
4. Presentation - Business Efficiency and Business Transformation Study - July 22, 2025
5. 2025-080 - Resolution with Blackberg Group to perform Business Efficiency and Transformation Study
6. Deliverable 1 - Current State Analysis
7. Deliverable 2 - Information and Insight Analysis
8. Deliverable 3A - Organizational Structure and Staffing Component
9. Deliverable 3B - Process Improvement and and Efficiency Potential
10. Deliverable 3C - Financial Efficiency Review
11. Deliverable 3D - Technology Utilization and Modernization
12. Deliverable 4 - Final Report and Recommendations



City of St. Helena Efficiency and Business Transformation

Presentation to the City Council
May 19, 2026

Presented by Blackberg Group, LLC



Contents

- Purpose of the Study
- Methodology
- Overall Approach
- Deliverable 1: Current State Analysis
- Deliverable 2: Information and Insight Analysis
- Deliverable 3: Existing Operations
- Deliverable 4: Final Report and Recommendations
- Deliverable 4: Transformation Roadmap
- Deliverable 4: Key Recommendations

Purpose

Improve the Efficiency and Effectiveness of the City

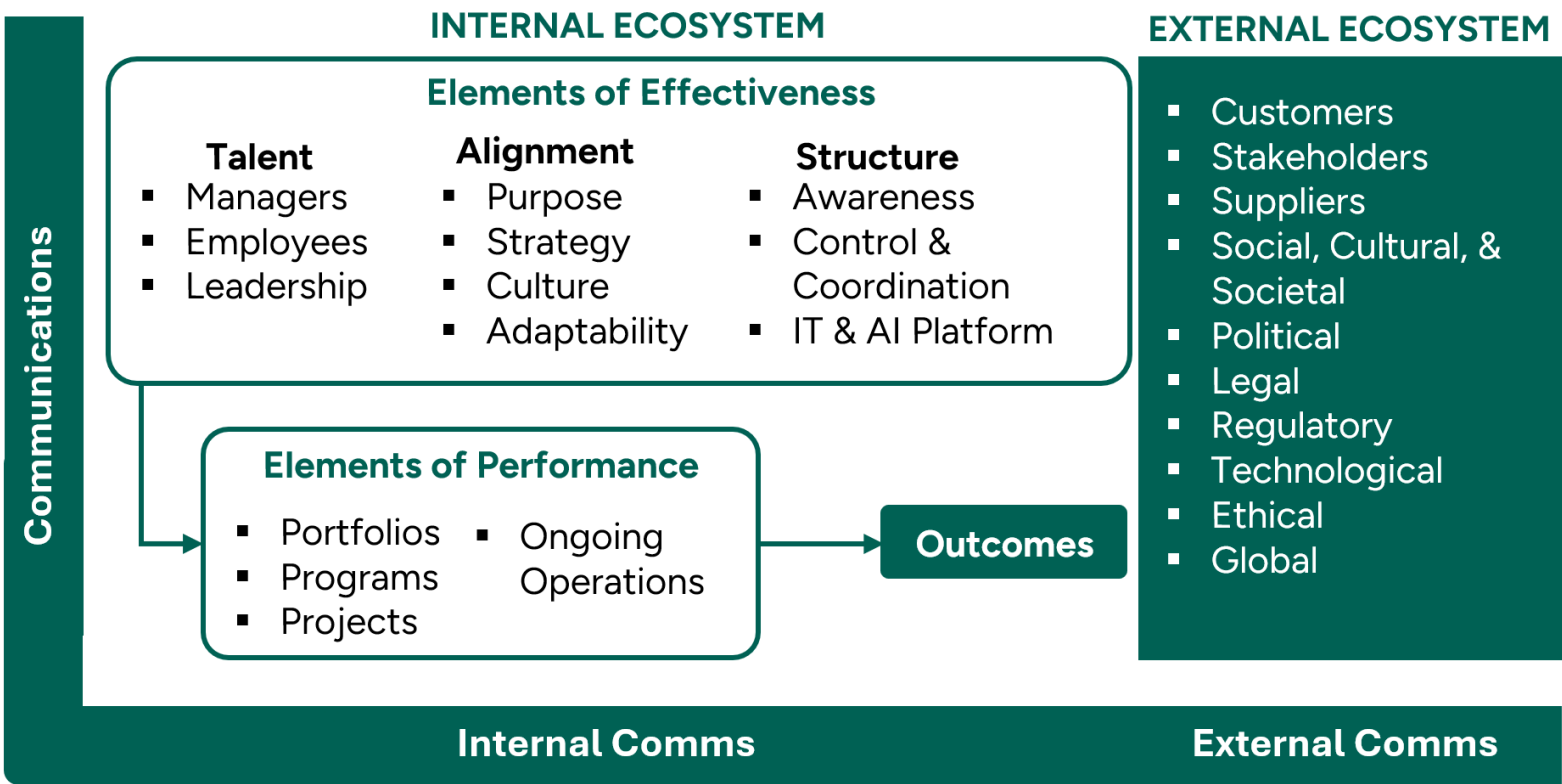
Blackberg's study centers on improving the efficiency and effectiveness of St. Helena's City government. This includes all aspects of strategy, management, and governance with a focus on process improvement. Key objectives and goals include:

- Assess current business processes, identify inefficiencies, and recommend strategies for improvement and transformation.
- Recommend changes in its organizational structure to enhance service delivery and/or reduce costs and optimize resources.
- Align City services, technology, and organizational structure in a way that makes it easier and more efficient for residents to access services and conduct business with the City.



Blackberg used the City Fitness Framework

Blackberg used the City Fitness Framework (CFF) to provide structure and context for the study. One can study each element within the CFF in relative isolation, but the reality of any organization is that each element is interacting with all other elements as a complex adaptive system. Therefore, it is important to understand the major interactions.



Approach

Blackberg conducted a four-part study of the City

Current State Analysis

Included an initial document review, survey of City employees, structured interviews, and analysis.



Information & Insight Analysis

Conducted document reviews; data requests; quantitative analyses; interviews; review of legacy analyses and surveys; examination of publicly published materials.



Existing Operations

Completed a four-part analysis of organizational structure & staffing, process improvement & efficiency potential, financial efficiency, and technology utilization & modernization.



Final Report & Recommendations

Provided a final report with a transformation roadmap that provides detailed recommendations for improving the efficiency and effectiveness of the city government.



Deliverable 1 - Current State Analysis

Overview

- Completed September 10, 2025
- Reviewed background documentation on the City (e.g. budgets, resident surveys, organizational charts, etc).

Survey

53

Responses

Conducted a 23-question anonymous survey of City employees with 53 responses.

Structured Interviews

36

Interviews

Completed 36 structured interviews (45-75 minutes each) covering the City Departments and various Divisions within those Departments.

- structured interviews explored organizational structure, processes, efficiency, technology, culture, resident interactions, and forward-looking perspectives.

Key Findings

- 1 Many positive responses and evidence of the implementation of IT Services.
- 2 An overall lack of situational awareness within the City.
- 3 A low level of organizational maturity.
- 4 Employees report feeling comfortable providing recommendations for improvement.
- 5 City employees define success as: "there are no complaints or problems". This demonstrates that ongoing operations are highly reactionary about concepts of quality.

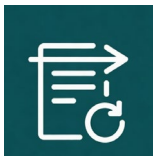
Deliverable 2 – Information and Insight Analysis

Overview

- Completed October 21, 2025



Documents



Data Requests



Quantitative Analyses



Interviews



Legacy Analyses



Legacy Surveys



Meeting with IT Service Consultant



Examination of Publicly Published Materials



Examination of national benchmark data

Key Findings

- 1 Budget tracking issues secondary to dramatic differences in reports.
- 2 The Library demonstrates excellent levels of performance compared to other libraries nationally.
- 3 Management systems are severely lacking.
- 4 Governance is severely lacking in many different aspects (e.g. tracking, documentation, translation into processes).
- 5 There is positive progress with Customer Relationship Management (CRM) systems (e.g. Grapevine tool).
- 6 There is no strategic plan, nor can anyone find a history of one ever existing.

Deliverable 3 – In-depth Review

Overview

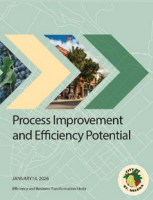
- Completed February 2, 2026
- Included four (4) subparts:

3A



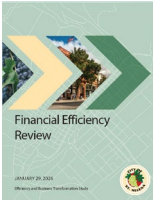
**Organizational
Structure & Staffing
Component**

3B



**Process Improvement
& Efficiency Potential**

3C



**Financial Efficiency
Review**

3D



**Technology Utilization
& Modernization**

Key Findings

- 1 Salary for most executive management positions are above average for cities of below 10,000 total population.
- 2 Blackberg recommends hiring an HR Manager and IT Manager as part of a larger organizational restructuring.
- 3 Blackberg recommends Quality Management and Daily Management system implementation.
- 4 Blackberg recommends the City procure specialized consulting services focused on fraud, waste, and abuse (FWA) detection, prevention, and mitigation.
- 5 Blackberg recommends the City reexamine minimum position qualifications – particularly for mid-management and executive management positions.
- 6 Blackberg recommends the use of “The Open Group Architecture Framework” (TOGAF) scaled down to an appropriate size and complexity for a small city.

Deliverable 4 – Final Report and Recommendations

Overview

- Completed April 22, 2026
- This deliverable contains detailed recommendations organized by a Transformation Roadmap that includes Pre-Transformation Activities and three Phases.

Pre-Transformation Activities

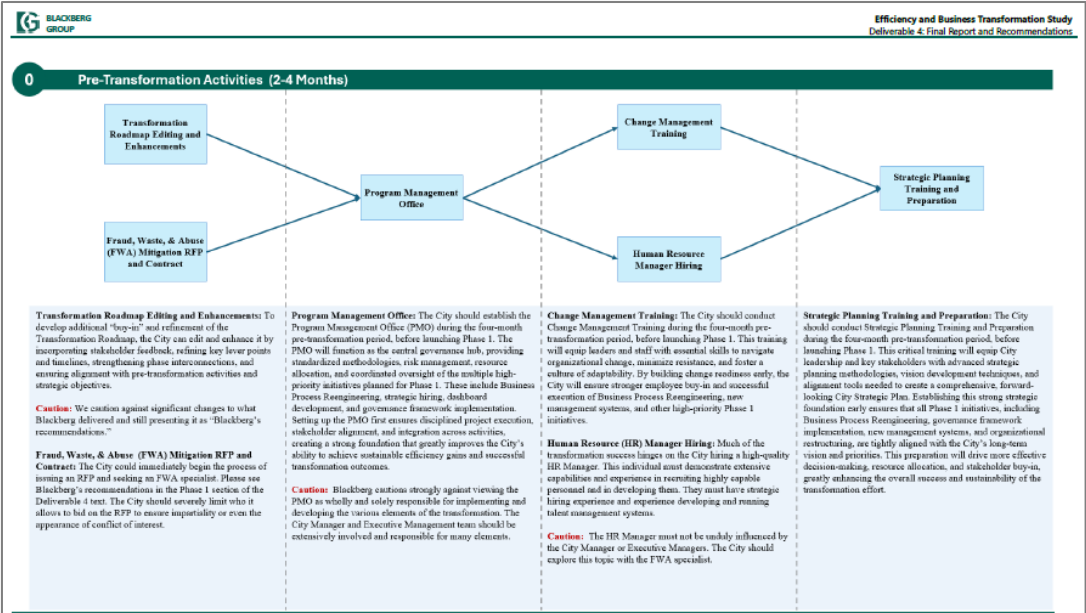


Figure 2 – Transformation Roadmap, Pre-Transformation Activities: The Pre-Transformation activities will help the City prepare for the challenges of transformation.

Phase 1

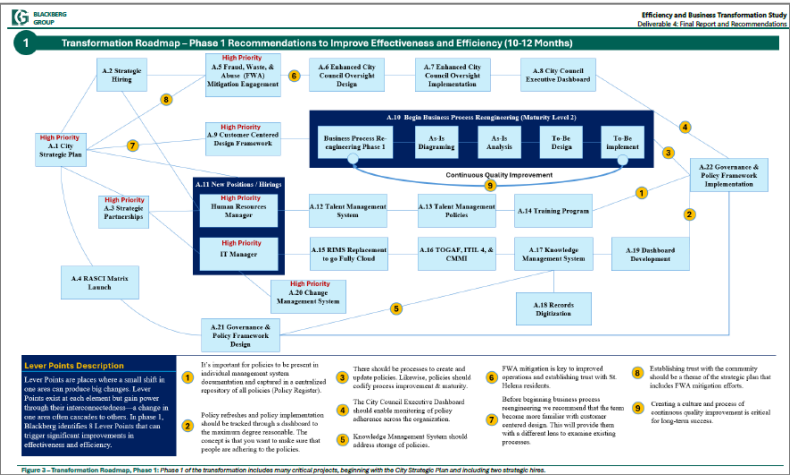


Figure 3 – Transformation Roadmap, Phase 1: Phase 1 of the transformation includes many critical projects, beginning with the City Strategic Plan and including two strategic hires.

Phase 2

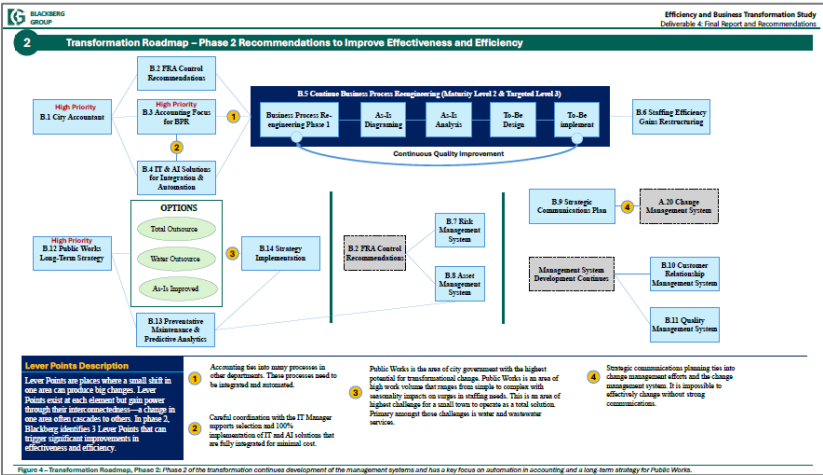


Figure 4 – Transformation Roadmap, Phase 2: Phase 2 of the transformation continues development of the management systems and has a key focus on automation in accounting and a long-term strategy for Public Works.

Phase 3

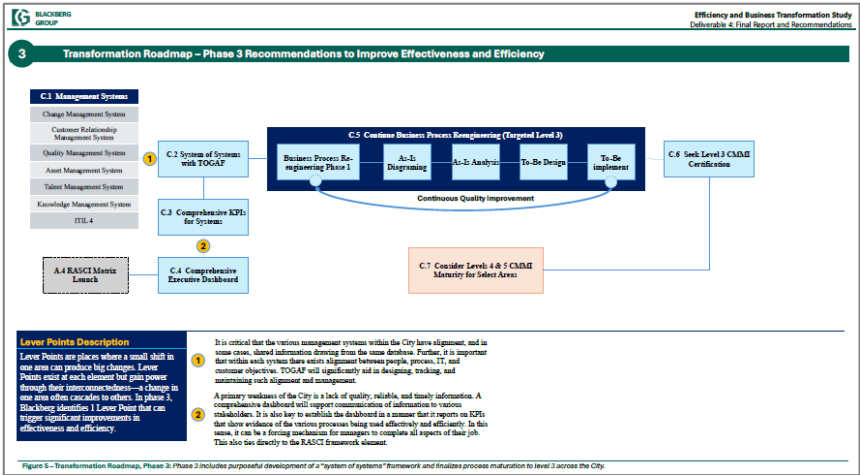
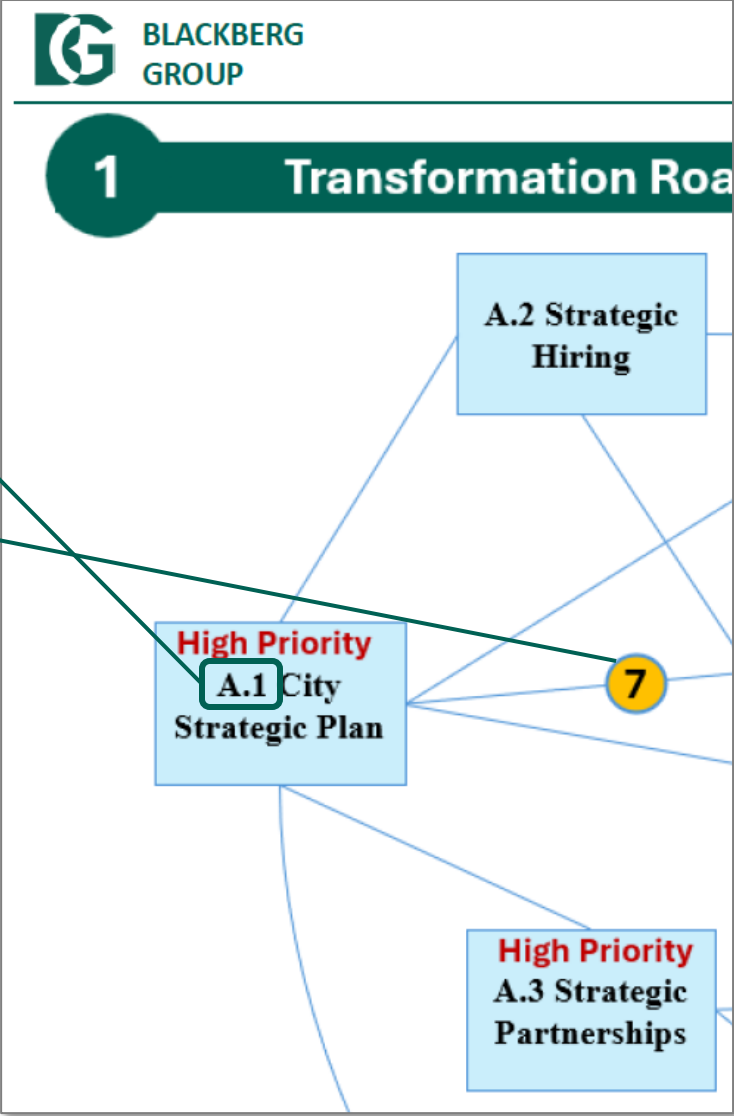


Figure 5 – Transformation Roadmap, Phase 3: Phase 3 includes purposeful development of a "system of systems" framework and finalizes process maturation to level 3 across the City.

Deliverable 4 – Transformation Roadmap

Transformation Roadmap Structure

- Each element within the Transformation Roadmap is labeled with an alpha-numeric code (e.g. A.1 for the City Strategic Plan).
 - The alpha-numeric code maps to specific sections throughout the 103-page report to provide detailed recommendations and explanations.
- The Transformation Roadmap contains yellow, numbered “Lever Points”. Lever Points are places where a small shift in one area can produce big changes.
- Arrows are purposefully removed because we wanted to show connections between the elements rather than a specific flow.

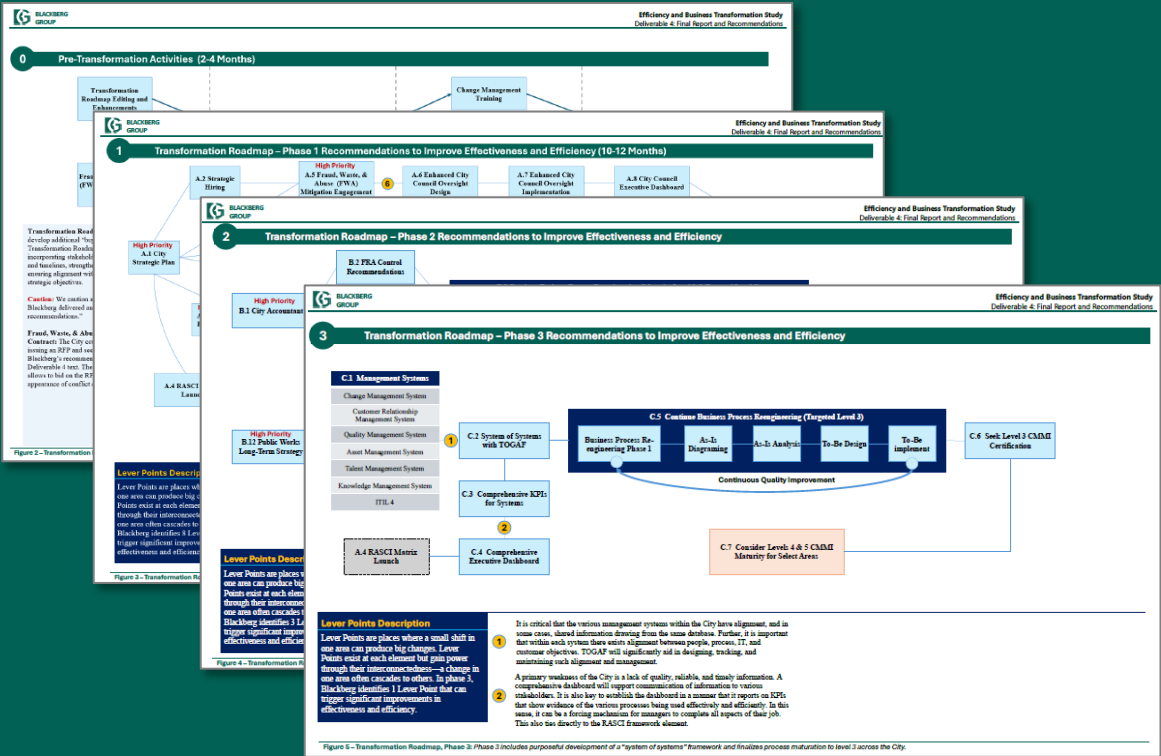


Deliverable 4 - Key Recommendations

The following are some of the key recommendations:

- **City Strategic Plan** – Develop a strategic plan to coordinate and communicate strategic initiatives.
- **Talent Management System** – Develop a talent management system.
- **Business Process Reengineering** – Mature City processes to Level 3 maturity with a focus on Administrative Services and Public Works.
- **Develop Executive Dashboard** – Create executive dashboard to drive transparency and situational awareness.
- **Public Works Long Term Strategy** – Explore and set long term strategy for Public Works Water and Wastewater.
- **System of Systems with TOGAF** – Develop a system of systems approach using TOGAF (The Open Group Architecture Framework).
- **Governance & Policy Framework** – Establish a governance and policy framework that is centralized and linked to documented processes.

Transformation Roadmaps



Questions?



REQUEST FOR PROPOSALS:

REQUEST FOR PROPOSALS FOR PROFESSIONAL SERVICES

Efficiency and Business Transformation Study

DATE ISSUED: Friday, March 28, 2025

DATE DUE: Friday, April 25, 2025, 5PM

CONTACT: Erika Opp, Administrative Analyst

eopp@cityofstheleena.gov

The City is only accepting proposals electronically via email to eopp@cityofstheleena.gov

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EXHIBITS

Exhibit A: Addendum

Exhibit B: City of St. Helena Professional Services Agreement

I. INTRODUCTION

The City of St. Helena, California is located in the center of the world-famous wine growing Napa Valley, 65 miles north of San Francisco. The area was settled in 1834 as part of General Vallejo's land grant. The City of St. Helena was incorporated as a City on March 24, 1876 and reincorporated on May 14, 1889.

The City, from its inception, has served as a rural agricultural center and over the years, has experienced growth and development of the wine industry. The City receives many visitors due to the wine industry and the area's scenic qualities and history. The City's goal is to maintain a small-town atmosphere and to provide high quality services to its residents.

The official population of the City of St. Helena as of 2021 is 6,070 (CA Department of Finance). St. Helena is a full-service city employing 93.7 full-time equivalent employees and encompasses an area of four-square miles. The City's FY 2024-25 General Fund Budget is approximately \$22 million.

II. GENERAL INFORMATION

OBJECTIVE

The City is seeking proposals from qualified consulting firms to conduct an Efficiency and Business Transformation Study. The objective of this study is to assess current business processes, identify inefficiencies, and recommend strategies for improvement and transformation. The recommendations might entail changes in its organizational structure to enhance service delivery and/or reduce costs and optimize resources based on how St. Helena residents interact with the City.

The goal is to align City services, technology, and organizational structure in a way that makes it easier and more efficient for residents to access services and conduct business with the City.

The study will exclude public safety services (e.g., police and fire) and instead focus on administrative, public works, planning and building services, and other non-safety functions.

The findings will inform the City's strategic approach to workforce planning, resource allocation, and service delivery improvements, ensuring that residents and businesses can more efficiently interact with the City.

A single firm may provide an RFP for all services or a team of independent consultants or small firms may submit proposals for a specific area of expertise (e.g. a process improvement specialist + a municipal finance consultant + a technology strategist).

III. SCOPE OF WORK

The selected Consultant will work with assigned City staff to conduct a comprehensive efficiency study across all non-public safety City departments. The Consultant will be responsible for:

- Conducting a comprehensive assessment of existing operations including:

- Organizational structure and staffing component
- Process improvements & efficiency potential
- Cost savings potential
- Technology utilization and modernization
- Identifying inefficiencies, redundancies, and process bottlenecks.
- Developing a comprehensive set of recommendations to improve operational efficiency, enhance service delivery, reduce costs, and/or optimize resource allocation.
- Presenting recommendations to the City Council.

IV. DELIVERABLES

The Consultant shall provide the following deliverables:

1. **Final Report** summarizing a menu of strategies to achieve efficiency and business transformation. The report shall present findings, recommendations, and potential for further inquiry emphasizing measurable outcomes such as: service delivery improvements, speed of transactions, and clear cost savings targets that align with the mission of making it easier for residents to interact/do business with the City. The final report should include (as applicable):
 - a. **Staffing and Operational Analysis** with proposed restructuring and efficiency recommendations.
 - b. **Process Improvement Recommendations** identifying specific inefficiencies.
 - c. **Technology Utilization Assessment** with recommendations for automation and digital integration.
 - d. **Financial Efficiency Review** outlining cost-saving measures and budgetary adjustments.

V. SCHEDULE

Responses to the RFP must be submitted to the City of St. Helena as outlined in this section.

Responses are due no later than
FRIDAY, APRIL 25, 2025 AT 5:00 PM
 Responses received after this date and time will not be considered.

**PROPOSED SCHEDULE FOR THE REVIEW AND SELECTION PROCESS
AND DESIRED TIMELINES FOR DELIVERABLES**

MILESTONE	DATE	TIME
Release RFP	March 28, 2025	10:00AM
Proposal due date	April 25, 2025	5:00PM
Review and scoring of submittals & conduct interviews	Week of May 16	
Award of Agreement	May 27, 2025	6:00 PM
Project Begins	July 1, 2025	

The schedule may be modified and/or extended if necessary.

VI. PROPOSAL SUBMISSION REQUIREMENTS

If interested in this RFP, please notify Erika Opp by email at eopp@cityofsthelena.gov so you may be added to the notification list for addendums. Failure to notify could result in missing important and required information and could result in disqualification.

Interested firms should submit a proposal that includes:

- Firm background and relevant experience.
- Approach and methodology for conducting the study.
- Detailed project timeline and deliverables.
- Team composition and qualifications.
- Total costs including fee structure.
- References from past clients with similar projects.

All submittals must be received by 5:00 PM on April 25, 2025 via e-mail as follows:

1. Submittals must be e-mailed to: eopp@cityofsthelena.gov
2. Subject line of e-mail must read: **RFP – Efficiency and Business Transformation**
3. The submittals shall be in PDF format with search capability to endure readability and compatibility. All submitted material will be retained by the City of St. Helena and considered public information.

It is the sole responsibility of the Proposer to ensure timely delivery. Late proposals will not be considered.

VII. EVALUATION PROCESS

The proposals will be reviewed by a committee selected by the City Manager and may include members of the City Council. Proposers may be required to make oral presentation as a supplement to their proposals. The virtual presentation would only be held subsequent to the receipt of the proposals and will be part of the evaluation/interview process to determine the qualifications of the firm. .

Evaluation considerations may include, by way of illustration and not by limitation, the following:

- a. Responsiveness of the proposal in clearly stating the understanding of the work to be performed and in demonstrating the intention and ability to perform the work.
- b. Consultant's experience in conducting similar studies.
- c. Technical experience and professional qualifications of the team. The number and expertise of key and supervisory personnel who will directly participate in the requested services.
- d. Cost-effectiveness and value for investment. Although a significant factor, cost will not be the primary factor in the selection of a firm. Since the City is cost conscious, proposals which provide options to perform the work in phases are welcome.
- e. References and past performance.

VIII. PROPOSAL TERMS AND CONDITIONS

1. EXAMINATION OF PROPOSAL MATERIALS

The submission of a proposal shall be deemed a representation and warranty by the proponent that it has investigated all aspects of the RFP, that it is aware of the applicable facts pertaining to the RFP process and its procedures and requirements, and that it has read and understands the RFP. No request for modification of the provisions of the proposal shall be considered after its submission on the grounds the proponent was not fully informed as to any fact or condition.

2. ADDENDA INTERPRETATIONS

If it becomes necessary to revise any part of this RFP, a written addendum will be provided to each firm that requested to be added to the notification list, and said addenda will be uploaded to the City website. The City of St. Helena is not bound by any oral representations, clarifications, or changes made in the RFP by the City or its agents, unless such clarifications or change is provided in written addendum from the City of St. Helena.

3. DESIGNATED CONTACT

For the purposes of this RFP, the Acting City Clerk is designated as the contact person. Any questions concerning the scope of work and the selection process shall be directed to Erika Opp at eopp@cityofsthenelena.gov. Any and all questions and responses concerning this RFP will only be accepted in writing, via email. All questions must be received by April 11, 2025 by 5:00PM.

Responses to questions will be posted on the City's website, cityofsthenelena.org/rfps, and will become part of the RFP. It is the consultant's responsibility to check the website for updates.

4. PUBLIC RECORDS

This RFP document and all submittals in response thereto are public records. Prospective consultants are cautioned not to include any material into the proposal that is strictly proprietary in nature.

5. PROPOSAL COSTS

All costs associated with the preparation of RFP submittals shall be borne by the respondent. This RFP does not constitute any form of offer to contract.

6. RESERVATION OF RIGHTS

The City reserves the right, for any reason, to accept or reject any one or more proposals; to negotiate the terms and specifications of the proposal; to modify any part of the RFP; or issue a new RFP.

7. PRODUCT OWNERSHIP

Any documents resulting from the contract will be the property of the City.

8. PROFESSIONAL SERVICES AGREEMENT

All Proposers must identify in their proposal any terms and conditions of the sample Professional Service Agreement (Exhibit B) that they wish to negotiate. Insurance is required as outlined in Section 7 of the sample agreement.

9. CAUSES FOR DISQUALIFICATION

Any of the following may be considered cause to disqualify a proponent without further consideration:

- Evidence of collusion among proponents;
- Any attempt to improperly influence any member of the evaluation panel;
- A proponent's default in any operation of a professional services agreement which resulted in termination of that agreement; and/or
- Existence of any lawsuit, unresolved contractual claim, or dispute between proponent and the City.

IX. Exhibit A – Addendum

It is anticipated the Efficiency and Business Transformation project may require multiple phases. The initial phase is the response to this RFP and other subsequent phases may include, but is not limited to the development of:

1. Comparative benchmarking analysis with cities of similar size and service levels to identify best practices in operational efficiency.
2. Roadmap for business transformation, including technology and workflow enhancements.
3. Implementation plan detailing prioritized actions and estimated cost savings.
4. Implementation support and for change management.

X. Exhibit B – City of St. Helena Professional Services Agreement

**CITY OF ST. HELENA
PROFESSIONAL SERVICES AGREEMENT
[Insert project name]**

This Agreement is made and entered into as of _____, 20____ by and between the City of St. Helena, a public agency organized and operating under the laws of the State of California ("City"), and [***INSERT NAME***], a [***INSERT TYPE OF ENTITY - CORPORATION, PARTNERSHIP, SOLE PROPRIETORSHIP OR OTHER LEGAL ENTITY***] with its principal place of business at [***INSERT ADDRESS***] (hereinafter referred to as "Consultant"). City and Consultant are sometimes individually referred to as "Party" and collectively as "Parties" in this Agreement.

RECITALS

A. City is a public agency of the State of California and is in need of professional services for the following project:

(hereinafter referred to as "the Project").

B. Consultant is duly licensed and has the necessary qualifications to provide such services.

C. The Parties desire by this Agreement to establish the terms for City to retain Consultant to provide the services described herein.

AGREEMENT

NOW, THEREFORE, IT IS AGREED AS FOLLOWS:

1. Services.

Consultant shall provide the City with the services described in the Scope of Services attached hereto as Exhibit "A." [Alternatively, Scope of Services can be included here and all subsequent exhibits renumbered accordingly.]

2. Compensation.

a. Subject to paragraph 2(b) below, the City shall pay for such services in accordance with the Schedule of Charges set forth in Exhibit "B." [Alternatively, Schedule of Charges may be included here and all subsequent exhibits renumbered accordingly.]

b. In no event shall the total amount paid for services rendered by Consultant under this Agreement exceed the sum of \$_____ [Insert amount of compensation]. This amount is to cover all printing and related costs, and the City will not pay any additional fees for printing expenses. Periodic payments shall be made within 30 days of receipt of an invoice which includes a detailed description of the work performed. Payments to Consultant for work performed will be made on a monthly billing basis.

3. Additional Work.

If changes in the work seem merited by Consultant or the City, and informal consultations with the other party indicate that a change is warranted, it shall be processed in the following manner: a letter outlining the changes shall be forwarded to the City by Consultant with a statement of estimated changes in fee or time schedule. An amendment to this Agreement shall be prepared by the City and executed by both Parties before performance of such services, or the City will not be required to pay for the changes in the scope of work. Such amendment shall not render ineffective or invalidate unaffected portions of this Agreement.

4. Maintenance of Records.

Books, documents, papers, accounting records, and other evidence pertaining to costs incurred shall be maintained by Consultant and made available at all reasonable times during the contract period and for four (4) years from the date of final payment under the contract for inspection by City.

5. [Insert Term or Time of Performance].

[If engaging the Consultant for a particular term, use the following provision]

The term of this Agreement shall be from **[Insert start date]** to **[Insert end date]**, unless earlier terminated as provided herein. The Parties may, by mutual, written consent, extend the term of this Agreement if necessary to complete the Project. Consultant shall perform its services in a prompt and timely manner within the term of this Agreement and shall commence performance upon receipt of written notice from the City to proceed ("Notice to Proceed"). **[If the City has specific milestones or timelines for performance, please input those requirements in the "Activity Schedule" attached as Exhibit C, otherwise delete Exhibit C.]** The Notice to Proceed shall set forth the date of commencement of work.

[If engaging the Consultant to perform a discrete task with a specified deadline, use the following provision]

Consultant shall perform its services in a prompt and timely manner and shall commence performance upon receipt of written notice from the City to proceed ("Notice to Proceed"). Consultant shall complete the services required hereunder within **[Insert number of calendar days for performance of the services – if more detail is required attach "Activity Schedule" as Exhibit C, otherwise delete Exhibit C.]** The Notice to Proceed shall set forth the date of commencement of work.

6. Delays in Performance.

a. Neither City nor Consultant shall be considered in default of this Agreement for delays in performance caused by circumstances beyond the reasonable control of the non-performing party. For purposes of this Agreement, such circumstances include but are not limited to, abnormal weather conditions; floods; earthquakes; fire; epidemics; pandemics; war; riots and other civil disturbances; strikes, lockouts, work slowdowns, and other labor disturbances; sabotage or judicial restraint.

b. Should such circumstances occur, the non-performing party shall, within a reasonable time of being prevented from performing, give written notice to the other party

describing the circumstances preventing continued performance and the efforts being made to resume performance of this Agreement.

7. Compliance with Law.

a. Consultant shall comply with all applicable laws, ordinances, codes and regulations of the federal, state and local government, including Cal/OSHA requirements.

b. If required, Consultant shall assist the City, as requested, in obtaining and maintaining all permits required of Consultant by federal, state and local regulatory agencies.

c. If applicable, Consultant is responsible for all costs of clean up and/ or removal of hazardous and toxic substances spilled as a result of his or her services or operations performed under this Agreement.

8. Standard of Care; Performance of Employees

a. Consultant's services will be performed in accordance with generally accepted professional practices and principles and in a manner consistent with the level of care and skill ordinarily exercised by members of the profession currently practicing under similar conditions.

b. Consultant's employees and subcontractors shall have sufficient skill and experience to perform the Services assigned to them. Consultant represents that it, its employees and subcontractors have all licenses, permits, qualifications and approvals of whatever nature that are legally required to perform the Services, including a City Business License, and that such licenses and approvals shall be maintained throughout the term of this Contract. As provided for in the indemnification provisions of this Contract, Consultant shall perform, at its own cost and expense and without reimbursement from the City, any services necessary to correct errors or omissions which are caused by the Consultant's failure to comply with the standard of care provided for herein. Any employee of the Consultant or its sub-consultants who is determined by the City to be uncooperative, incompetent, a threat to the adequate or timely completion of the Project, a threat to the safety of persons or property, or any employee who fails or refuses to perform the Services in a manner acceptable to the City, shall be promptly removed from the Project by the Consultant and shall not be re-employed to perform any of the Services or to work on the Project.

9. Assignment and Subcontracting

Consultant shall not assign, sublet, or transfer this Agreement or any rights under or interest in this Agreement without the written consent of the City, which may be withheld for any reason. Any attempt to so assign or so transfer without such consent shall be void and without legal effect and shall constitute grounds for termination. Subcontracts, if any, shall contain a provision making them subject to all provisions stipulated in this Agreement. Nothing contained herein shall prevent Consultant from employing independent associates and subcontractors as Consultant may deem appropriate to assist in the performance of services hereunder.

10. Independent Contractor

Consultant is retained as an independent contractor and is not an employee of City. No employee or agent of Consultant shall become an employee of City. The work to be performed

shall be in accordance with the work described in this Agreement, subject to such directions and amendments from City as herein provided.

11. Insurance. Consultant shall not commence work for the City until it has provided evidence satisfactory to the City it has secured all insurance required under this section. In addition, Consultant shall not allow any subcontractor to commence work on any subcontract until it has secured all insurance required under this section.

a. Commercial General Liability

(i) The Consultant shall take out and maintain, during the performance of all work under this Agreement, in amounts not less than specified herein, Commercial General Liability Insurance, in a form and with insurance companies acceptable to the City.

(ii) Coverage for Commercial General Liability insurance shall be at least as broad as the following:

(1) Insurance Services Office Commercial General Liability coverage (Occurrence Form CG 00 01) or exact equivalent.

(iii) Commercial General Liability Insurance must include coverage for the following:

- (1) Bodily Injury and Property Damage
- (2) Personal Injury/Advertising Injury
- (3) Premises/Operations Liability
- (4) Products/Completed Operations Liability
- (5) Aggregate Limits that Apply per Project
- (6) Explosion, Collapse and Underground (UCX) exclusion deleted
- (7) Contractual Liability with respect to this Agreement
- (8) Property Damage
- (9) Independent Contractors Coverage

(iv) The policy shall contain no endorsements or provisions limiting coverage for (1) contractual liability; (2) cross liability exclusion for claims or suits by one insured against another; (3) products/completed operations liability; or (4) contain any other exclusion contrary to the Agreement.

(v) The policy shall give City, its officials, officers, employees, agents and City designated volunteers additional insured status using ISO endorsement forms CG 20 10 10 01 and 20 37 10 01, or endorsements providing the exact same coverage.

(vi) The general liability program may utilize either deductibles or provide coverage excess of a self-insured retention, subject to written approval by the City, and provided that such deductibles shall not apply to the City as an additional insured.

b. Automobile Liability

(i) At all times during the performance of the work under this Agreement, the Consultant shall maintain Automobile Liability Insurance for bodily injury and

property damage including coverage for owned, non-owned and hired vehicles, in a form and with insurance companies acceptable to the City.

(ii) Coverage for automobile liability insurance shall be at least as broad as Insurance Services Office Form Number CA 00 01 covering automobile liability (Coverage Symbol 1, any auto).

(iii) The policy shall give City, its officials, officers, employees, agents and City designated volunteers additional insured status.

(iv) Subject to written approval by the City, the automobile liability program may utilize deductibles, provided that such deductibles shall not apply to the City as an additional insured, but not a self-insured retention.

c. Workers' Compensation/Employer's Liability

(i) Consultant certifies that he/she is aware of the provisions of Section 3700 of the California Labor Code which requires every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with the provisions of that code, and he/she will comply with such provisions before commencing work under this Agreement.

(ii) To the extent Consultant has employees at any time during the term of this Agreement, at all times during the performance of the work under this Agreement, the Consultant shall maintain full compensation insurance for all persons employed directly by him/her to carry out the work contemplated under this Agreement, all in accordance with the "Workers' Compensation and Insurance Act," Division IV of the Labor Code of the State of California and any acts amendatory thereof, and Employer's Liability Coverage in amounts indicated herein. Consultant shall require all subconsultants to obtain and maintain, for the period required by this Agreement, workers' compensation coverage of the same type and limits as specified in this section.

d. Professional Liability (Errors and Omissions)

At all times during the performance of the work under this Agreement the Consultant shall maintain professional liability or Errors and Omissions insurance appropriate to its profession, in a form and with insurance companies acceptable to the City and in an amount indicated herein. This insurance shall be endorsed to include contractual liability applicable to this Agreement and shall be written on a policy form specifically designed to protect against acts, errors or omissions of the Consultant. "Covered Professional Services" as designated in the policy must specifically include work performed under this Agreement. The policy must "pay on behalf of" the insured and must include a provision establishing the insurer's duty to defend.

e. Minimum Policy Limits Required

(i) The following insurance limits are required for the Agreement:

Combined Single Limit

Commercial General Liability	\$1,000,000 per occurrence/ \$2,000,000 aggregate for bodily injury, personal injury, and property damage
Automobile Liability	\$1,000,000 combined single limit
Employer's Liability	\$1,000,000 per accident or disease
Professional Liability	\$1,000,000 per claim and aggregate (errors and omissions)

(ii) Defense costs shall be payable in addition to the limits.

(iii) Requirements of specific coverage or limits contained in this section are not intended as a limitation on coverage, limits, or other requirement, or a waiver of any coverage normally provided by any insurance. Any available coverage shall be provided to the parties required to be named as Additional Insured pursuant to this Agreement.

f. Evidence Required

Prior to execution of the Agreement, the Consultant shall file with the City evidence of insurance from an insurer or insurers certifying to the coverage of all insurance required herein. Such evidence shall include original copies of the ISO CG 00 01 (or insurer's equivalent) signed by the insurer's representative and Certificate of Insurance (Acord Form 25-S or equivalent), together with required endorsements. All evidence of insurance shall be signed by a properly authorized officer, agent, or qualified representative of the insurer and shall certify the names of the insured, any additional insureds, where appropriate, the type and amount of the insurance, the location and operations to which the insurance applies, and the expiration date of such insurance.

g. Policy Provisions Required

(i) Consultant shall provide the City at least thirty (30) days prior written notice of cancellation of any policy required by this Agreement, except that the Consultant shall provide at least ten (10) days prior written notice of cancellation of any such policy due to non-payment of premium. If any of the required coverage is cancelled or expires during the term of this Agreement, the Consultant shall deliver renewal certificate(s) including the General Liability Additional Insured Endorsement to the City at least ten (10) days prior to the effective date of cancellation or expiration.

(ii) The Commercial General Liability Policy and Automobile Policy shall each contain a provision stating that Consultant's policy is primary insurance and that any insurance, self-insurance or other coverage maintained by the City or any named insureds shall not be called upon to contribute to any loss.

(iii) The retroactive date (if any) of each policy is to be no later than the effective date of this Agreement. Consultant shall maintain such coverage continuously for a period of at least three years after the completion of the work under this Agreement. Consultant shall purchase a one (1) year extended reporting period A) if the retroactive date is advanced past the effective date of this Agreement; B) if the policy is cancelled or not renewed; or C) if the

policy is replaced by another claims-made policy with a retroactive date subsequent to the effective date of this Agreement.

(iv) All required insurance coverages, except for the professional liability coverage, shall contain or be endorsed to provide a waiver of subrogation in favor of the City, its officials, officers, employees, agents, and volunteers or shall specifically allow Consultant or others providing insurance evidence in compliance with these specifications to waive their right of recovery prior to a loss. Consultant hereby waives its own right of recovery against City, and shall require similar written express waivers and insurance clauses from each of its subconsultants.

(v) The limits set forth herein shall apply separately to each insured against whom claims are made or suits are brought, except with respect to the limits of liability. Further the limits set forth herein shall not be construed to relieve the Consultant from liability in excess of such coverage, nor shall it limit the Consultant's indemnification obligations to the City and shall not preclude the City from taking such other actions available to the City under other provisions of the Agreement or law.

h. Qualifying Insurers

(i) All policies required shall be issued by acceptable insurance companies, as determined by the City, which satisfy the following minimum requirements:

(1) Each such policy shall be from a company or companies with a current A.M. Best's rating of no less than A:VII and admitted to transact in the business of insurance in the State of California, or otherwise allowed to place insurance through surplus line brokers under applicable provisions of the California Insurance Code or any federal law.

i. Additional Insurance Provisions

(i) The foregoing requirements as to the types and limits of insurance coverage to be maintained by Consultant, and any approval of said insurance by the City, is not intended to and shall not in any manner limit or qualify the liabilities and obligations otherwise assumed by the Consultant pursuant to this Agreement, including but not limited to, the provisions concerning indemnification.

(ii) If at any time during the life of the Agreement, any policy of insurance required under this Agreement does not comply with these specifications or is canceled and not replaced, City has the right but not the duty to obtain the insurance it deems necessary and any premium paid by City will be promptly reimbursed by Consultant or City will withhold amounts sufficient to pay premium from Consultant payments. In the alternative, City may cancel this Agreement.

(iii) The City may require the Consultant to provide complete copies of all insurance policies in effect for the duration of the Project.

(iv) Neither the City nor any of its officials, officers, employees, agents or volunteers shall be personally responsible for any liability arising under or by virtue of this Agreement.

j. Subconsultant Insurance Requirements. Consultant shall not allow any subcontractors or subconsultants to commence work on any subcontract until they have provided evidence satisfactory to the City that they have secured all insurance required under this section. Policies of commercial general liability insurance provided by such subcontractors or subconsultants shall be endorsed to name the City as an additional insured using ISO form CG 20 38 04 13 or an endorsement providing the exact same coverage. If requested by Consultant, City may approve different scopes or minimum limits of insurance for particular subcontractors or subconsultants.

12. Indemnification.

a. To the fullest extent permitted by law, Consultant shall defend (with counsel of City's choosing), indemnify and hold the City, its officials, officers, employees, volunteers, and agents free and harmless from any and all claims, demands, causes of action, costs, expenses, liability, loss, damage or injury of any kind, in law or equity, to property or persons, including wrongful death, in any manner arising out of, pertaining to, or incident to any acts, errors or omissions, or willful misconduct of Consultant, its officials, officers, employees, subcontractors, consultants or agents in connection with the performance of the Consultant's services, the Project or this Agreement, including without limitation the payment of all damages, expert witness fees and attorney's fees and other related costs and expenses. Consultant's obligation to indemnify shall not be restricted to insurance proceeds, if any, received by Consultant, the City, its officials, officers, employees, agents, or volunteers.

b. If Consultant's obligation to defend, indemnify, and/or hold harmless arises out of Consultant's performance of "design professional" services (as that term is defined under Civil Code section 2782.8), then, and only to the extent required by Civil Code section 2782.8, which is fully incorporated herein, Consultant's indemnification obligation shall be limited to claims that arise out of, pertain to, or relate to the negligence, recklessness, or willful misconduct of the Consultant, and, upon Consultant obtaining a final adjudication by a court of competent jurisdiction, Consultant's liability for such claim, including the cost to defend, shall not exceed the Consultant's proportionate percentage of fault.

13. California Labor Code Requirements.

a. Consultant is aware of the requirements of California Labor Code Sections 1720 et seq. and 1770 et seq., which require the payment of prevailing wage rates and the performance of other requirements on certain "public works" and "maintenance" projects ("Prevailing Wage Laws"). If the services are being performed as part of an applicable "public works" or "maintenance" project, as defined by the Prevailing Wage Laws, and if the total compensation is \$1,000 or more, Consultant agrees to fully comply with such Prevailing Wage Laws. Consultant shall defend, indemnify and hold the City, its officials, officers, employees and agents free and harmless from any claims, liabilities, costs, penalties or interest arising out of any failure or alleged failure to comply with the Prevailing Wage Laws. It shall be mandatory upon the Consultant and all subconsultants to comply with all California Labor Code provisions, which include but are not limited to prevailing wages (Labor Code Sections 1771, 1774 and 1775), employment of apprentices (Labor Code Section 1777.5), certified payroll records (Labor Code Sections 1771.4 and 1776), hours of labor (Labor Code Sections 1813 and 1815) and debarment of contractors and subcontractors (Labor Code Section 1777.1). The requirement to submit certified payroll records directly to the Labor Commissioner under Labor Code section 1771.4 shall not apply to work performed on a public works project that is exempt pursuant to the small project exemption specified in Labor Code Section 1771.4.

b. If the services are being performed as part of an applicable “public works” or “maintenance” project, then pursuant to Labor Code Sections 1725.5 and 1771.1, the Consultant and all subconsultants performing such services must be registered with the Department of Industrial Relations. Consultant shall maintain registration for the duration of the Project and require the same of any subconsultants, as applicable. Notwithstanding the foregoing, the contractor registration requirements mandated by Labor Code Sections 1725.5 and 1771.1 shall not apply to work performed on a public works project that is exempt pursuant to the small project exemption specified in Labor Code Sections 1725.5 and 1771.1.

c. This Agreement may also be subject to compliance monitoring and enforcement by the Department of Industrial Relations. It shall be Consultant’s sole responsibility to comply with all applicable registration and labor compliance requirements. Any stop orders issued by the Department of Industrial Relations against Consultant or any subcontractor that affect Consultant’s performance of services, including any delay, shall be Consultant’s sole responsibility. Any delay arising out of or resulting from such stop orders shall be considered Consultant caused delay and shall not be compensable by the City. Consultant shall defend, indemnify and hold the City, its officials, officers, employees and agents free and harmless from any claim or liability arising out of stop orders issued by the Department of Industrial Relations against Consultant or any subcontractor.

14. Safety.

Consultant shall execute and maintain its work so as to avoid injury or damage to any person or property. In carrying out its Services, the Consultant shall at all times be in compliance with all applicable local, state and federal laws, rules and regulations, and shall exercise all necessary precautions for the safety of employees appropriate to the nature of the work and the conditions under which the work is to be performed. Safety precautions as applicable shall include, but shall not be limited to: (A) adequate life protection and life-saving equipment and procedures; (B) instructions in accident prevention for all employees and subcontractors, such as safe walkways, scaffolds, fall protection ladders, bridges, gang planks, confined space procedures, trenching and shoring, equipment and other safety devices, equipment and wearing apparel as are necessary or lawfully required to prevent accidents or injuries; and (C) adequate facilities for the proper inspection and maintenance of all safety measures.

15. Verification of Employment Eligibility.

By executing this Agreement, Consultant verifies that it fully complies with all requirements and restrictions of state and federal law respecting the employment of undocumented aliens, including, but not limited to, the Immigration Reform and Control Act of 1986, as may be amended from time to time, and shall require all subconsultants and sub-subconsultants to comply with the same.

16. INTENTIONALLY DELETED

17. Laws and Venue.

This Agreement shall be interpreted in accordance with the laws of the State of California. If any action is brought to interpret or enforce any term of this Agreement, the action shall be brought in a the Superior Court of California for the County of Napa.

18. Termination or Abandonment

a. City has the right to terminate or abandon any portion or all of the work under this Agreement by giving ten (10) calendar days written notice to Consultant. In such event, City shall be immediately given title and possession to all original field notes, drawings and specifications, written reports and other documents produced or developed for that portion of the work completed and/or being abandoned. City shall pay Consultant the reasonable value of services rendered for any portion of the work completed prior to termination. If said termination occurs prior to completion of any task for the Project for which a payment request has not been received, the charge for services performed during such task shall be the reasonable value of such services, based on an amount mutually agreed to by City and Consultant of the portion of such task completed but not paid prior to said termination. City shall not be liable for any costs other than the charges or portions thereof which are specified herein. Consultant shall not be entitled to payment for unperformed services, and shall not be entitled to damages or compensation for termination of work.

b. Consultant may terminate its obligation to provide further services under this Agreement upon thirty (30) calendar days' written notice to City only in the event of substantial failure by City to perform in accordance with the terms of this Agreement through no fault of Consultant.

19. Ownership of Documents and Confidential Information.

a. All deliverables and other documents generated by Consultant in the performance of the Services, including all work papers, work-in-progress, designs, drawings, documents, data, computations, specifications, studies and reports prepared by Consultant as a part of the Services or authorized Additional Services ("Consultant Work Product") shall belong to and be subject to the sole ownership and use of City.

b. Except as otherwise provided in "Termination or Abandonment," above, all original field notes, written reports, drawings and specifications and other documents, produced or developed for the Project shall, upon payment in full for the services described in this Agreement, be furnished to and become the property of the City.

c. During the course of the performance of this Agreement, Consultant may receive written or verbal information from City, its representatives or agents, not in the public domain. Such information may include City's know how, trade secrets, and other proprietary and confidential information and Consultant agrees to treat such information as confidential information belonging to City. Consultant agrees that neither it, nor its officers, employees, representatives, agents, successors, or assigns, will disclose such information to any third party or use the same in any manner without the prior written consent of City. Moreover, Consultant agrees to safeguard such proprietary and confidential information from unauthorized disclosure and/or use using the same degree of care it uses to protect its own proprietary and confidential information, but not less than a reasonable standard of care. In the event that disclosure of such information is sought pursuant to any law or regulation, Consultant shall promptly notify City of such fact to allow City to assert whatever exclusions or exemptions may be available to it under applicable law or regulation.

20. Organization

Consultant shall assign [REDACTED] as Project Manager. The Project Manager shall not be removed from the Project or reassigned without the prior written consent of the City.

21. Limitation of Agreement.

This Agreement is limited to and includes only the work included in the Project described above.

22. Notice

Any notice or instrument required to be given or delivered by this Agreement may be given or delivered by depositing the same in any United States Post Office, certified mail, return receipt requested, postage prepaid, addressed to:

CITY:

City of St. Helena

[City Address]

CONSULTANT:

INSERT NAME, ADDRESS & CONTACT PERSON

Attn: ***INSERT NAME & DEPARTMENT***

and shall be effective upon receipt thereof.

23. Third Party Rights

Nothing in this Agreement shall be construed to give any rights or benefits to anyone other than the City and the Consultant.

24. Equal Opportunity Employment.

Consultant represents that it is an equal opportunity employer and that it shall not discriminate against any employee or applicant for employment because of race, religion, color, national origin, ancestry, sex, age or other interests protected by the State or Federal Constitutions. Such non-discrimination shall include, but not be limited to, all activities related to initial employment, upgrading, demotion, transfer, recruitment or recruitment advertising, layoff or termination.

25. Entire Agreement

This Agreement, with its exhibits, represents the entire understanding of City and Consultant as to those matters contained herein, and supersedes and cancels any prior or contemporaneous oral or written understanding, promises or representations with respect to those matters covered hereunder. Each Party acknowledges that no representations, inducements, promises or agreements have been made by any person which are not incorporated herein, and that any other agreements shall be void. This Agreement may not be modified or altered except in writing signed by both Parties hereto. This is an integrated Agreement.

26. Severability

The unenforceability, invalidity or illegality of any provision(s) of this Agreement shall not render the remaining provisions unenforceable, invalid or illegal.

27. Successors and Assigns

This Agreement shall be binding upon and shall inure to the benefit of the successors in interest, executors, administrators and assigns of each Party to this Agreement. However, Consultant shall not assign or transfer by operation of law or otherwise any or all of its rights, burdens, duties or obligations without the prior written consent of City. Any attempted assignment without such consent shall be invalid and void.

28. Non-Waiver

None of the provisions of this Agreement shall be considered waived by either Party, unless such waiver is specifically specified in writing.

29. Time of Essence

Time is of the essence for each and every provision of this Agreement.

30. City's Right to Employ Other Consultants

City reserves its right to employ other consultants, including engineers, in connection with this Project or other projects.

31. Prohibited Interests

Consultant maintains and warrants that it has not employed nor retained any company or person, other than a bona fide employee working solely for Consultant, to solicit or secure this Agreement. Further, Consultant warrants that it has not paid nor has it agreed to pay any company or person, other than a bona fide employee working solely for Consultant, any fee, commission, percentage, brokerage fee, gift or other consideration contingent upon or resulting from the award or making of this Agreement. For breach or violation of this warranty, City shall have the right to rescind this Agreement without liability. For the term of this Agreement, no director, official, officer or employee of City, during the term of his or her service with City, shall have any direct interest in this Agreement, or obtain any present or anticipated material benefit arising therefrom.

32. Federal Requirements *****INCLUDE THIS SECTION ONLY IF APPLICABLE; DELETE OTHERWISE AND DELETE ASSOCIATED EXHIBIT. YOU MAY ALSO NEED TO INCLUDE SOME INFORMATION IN THE RFP DUE TO FEDERAL FUNDING GUIDELINES. CONSULT LEGAL COUNSEL IF NECESSARY*****

When funding for the services is provided, in whole or in part, by an agency of the federal government, Consultant shall also fully and adequately comply with the provisions included in Exhibit "D" (Federal Requirements) attached hereto and incorporated herein by reference ("Federal Requirements"). With respect to any conflict between such Federal Requirements and the terms of this Agreement and/or the provisions of state law, the more stringent requirement shall control.

[SIGNATURES ON FOLLOWING PAGE]

**SIGNATURE PAGE FOR PROFESSIONAL SERVICES AGREEMENT
BETWEEN CITY OF ST. HELENA
AND [***INSERT CONSULTANT NAME***]**

IN WITNESS WHEREOF, the Parties have executed this Agreement as of the date first written above.

CITY OF ST. HELENA

[**CONSULTANT'S NAME**]

By: _____
Anil Comelo
City Manager

By: _____
Its: _____
Printed Name: _____

ATTEST:

By: _____
[INSERT TITLE]

EXHIBIT A
Scope of Services

EXHIBIT B

Schedule of Charges/Payments

Consultant will invoice City on a monthly cycle. Consultant will include with each invoice a detailed progress report that indicates the amount of budget spent on each task. Consultant will inform City regarding any out-of-scope work being performed by Consultant. This is a time-and-materials contract.

EXHIBIT C

Activity Schedule

EXHIBIT D

Federal Requirements

[DELETE EXHIBIT IF NOT APPLICABLE]



City of St. Helena Efficiency and Business Transformation

Technical Proposal

Submitted To:
Erika Opp, Administrative Analyst

April 25, 2025

COVER LETTER

City of St. Helena

April 25, 2025

Dear Erika Opp,

On behalf of the Blackberg Group, I am pleased to submit our proposal in response to your request for proposals for Efficiency and Business Transformation Stud. We are excited about the opportunity to partner with the City of St. Helena to conduct an efficiency and business transformation study. We are confident that our team's experience in community engagement, city management, and information technology will meaningfully support St. Helena's goals.

Blackberg specializes in organizational assessment and design, process improvement and efficiency, community outreach, customer centered design, and information and cybersecurity for public agencies and mission-driven organizations.

Blackberg has received and reviewed all documents, including the base solicitation to this opportunity provided by the City of St. Helena or referenced in solicitation materials. We agree with all terms, conditions, and provisions included in the solicitation—taking no assumptions, conditions, or exceptions with any of the terms and conditions of this RFP. This proposal is valid for 120 calendar days following submission.

Thank you for your consideration of our proposal.

Sincerely,



Leanne Reisz
Executive Vice President
Blackberg Group, LLC

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1.0 Project Understanding

The City of St. Helena has made important strides in enhancing the quality of life for its residents, as reflected in the January 2025 Godbe Research survey. Resident satisfaction with city services has climbed to 86.4%, up from 78.2% in 2022. Likewise, 78.5% of residents now consider St. Helena a good place to raise a family, showing a steady positive trend. However, this progress is tempered by persistent concerns about water quality and supply (37.5%), the lack of affordable housing, and road maintenance. While satisfaction with customer service has increased to 75.1%, there has been a noted decline in how residents perceive the timeliness and quality of the information they receive.

Primary Study Objective

“The objective of this study is to assess current business processes, identify inefficiencies, and recommend strategies for improvement and transformation.”

These dynamics underscore a critical need for the City to examine how it operates and delivers services. St. Helena, like many municipalities, faces systemic challenges: under-resourced departments, aging infrastructure and equipment, and fiscal constraints that limit strategic growth and service delivery. The City’s request for a Comprehensive Efficiency and Business Transformation Study reflects a forward-looking commitment to meeting these challenges head-on.

We understand that the City’s objectives are to improve organizational performance, enhance customer satisfaction, and position the City for long-term sustainability. As outlined in the scope of work, this involves a thorough, phased assessment of City operations, focusing on organizational structure, service delivery, staffing levels, technology use, and budget/resource alignment. Our goal is to support St. Helena in building a more nimble, responsive, and effective government—one that continues to deliver high-quality services while earning and sustaining the trust of its residents.

2.0 Firm Background and Relevant Experience

Blackberg will serve as the prime contractor for this study. HRS Consulting joins Blackberg as a major subcontractor to form Team Blackberg. Team Blackberg offers St. Helena access to a group of transformation, strategy, and management experts who have decades of relevant experience.

 Blackberg is a **Service-Disabled, Veteran-Owned Small Business and a Woman-Owned Small Business** specializing in strategy, operations, communications, and organizational effectiveness. Our team has decades of combined experience supporting local, state, and federal clients with the development of Strategic and Comprehensive Plans. Further Blackberg has experience developing plans with long- range time horizons and high-level goals, while cascading down to detailed and action-oriented initiatives that support quarterly and annual progress. We also have experience with land use policy and exploring all community needs by using a combination of models, such as PESTLE (Political, Economic, Sociological, Technological, Legal, and Environmental) analysis, Journey Mapping, and user- centered design. Furthermore, in supporting government clientele, we have extensive experience with incorporating considerations for laws, policies, and regulations. Many of our local government clients have found our experience with state and federal level law and regulations useful in crafting their Comprehensive Plans. This can also include federal and state level incentives and strategic initiatives. Further, Blackberg brings extensive experience in community engagement, analytics, web development, and graphic design—complementing the delivery of creative and innovative plans.



HRS Consulting, Inc. (HRS), a **Service-Disabled, Veteran-Owned Small Business**, is a global human performance improvement company. We specialize in taking lessons learned in High Reliability Organizations (HRO) and developing innovative

process enhancements, training and continuous improvement for people who need to execute precise actions in a stressful, demanding environment. Our approach replicates HRO “best practices” and yields a comprehensive solution to capture and proactively eliminate error and mitigate risk to prevent an incident or sentinel event.

Our actions are rooted in individual and organizational excellence, earning us national and international recognition. Our CEO co-authored the book *High Reliability for a Highly Unreliable World*, praised as an "encyclopedia compendium" by leading HRO experts. Our team has used HRO tools to reduce risks, errors, and costs significantly in various complex organizations. We adapt HRO principles for personnel development and training, with direct applicability to public and private sectors, resulting in performance improvements and cost savings. As Veterans, we understand our clients' challenges and core values deeply. HRS offers an exceptionally experienced team with process improvement expertise, enhanced by qualitative and quantitative assessments, course design, training, and implementation tools.

Collectively, Team Blackberg’s professional qualifications (**Figure 1**) encompass certified High Reliability Practitioners, Lean Six Sigma Master Blackbelts, Prosci Change Management Practitioners, Baldrige Performance Excellence Program Examiner, and Strategic Planners.



Figure 1 – Team Blackberg Certifications: Team Blackberg has professional certifications that are relevant for this study, and our experts routinely maintain the currency of their knowledge with publications, research, and presentations.

Team Blackberg has supported the strategic development, planning, and execution of similar comprehensive studies and analysis for state, local, federal, academic, and private sector clients for the past 16 years. These clients include the City of Germantown, Veterans Health Administration, Department of Defense, Kaiser Permanente, Stanford University, Southwestern Health Resources, Lower Columbia Maritime Fire Safety/Security Plan, and more. A sample of similar projects are depicted below (**Figure 2**).



Figure 2 – Team Blackberg Clientele: Team Blackberg has successfully supported a wide range of clientele with studies similar or identical to the needs of St. Helena.



Sample 1: City of Germantown Strategic Plan—Our team partnered with the Mayor and City Administrator to combine the City’s Smart Growth Plan (its general land use plan), its Triple Bottom Line (the economic, environmental, and social sustainability plan), annual budget, and the Germantown Plan into a single, focused strategic approach that was compliant with Baldrige evaluation criteria. The Baldrige Excellence Framework, used for evaluating organizations including cities, focuses on seven key areas—Leadership; Strategy; Customers’ Measurement, Analysis, and Knowledge Management; Workforce;

Operations; and Results. Through the unified plan, we aimed to advance measurable and sustainable improvement in the ability of all senior leadership to function as effective collegial teams in pursuit of continuous improvement for the City and its residents. Through an inclusive and participatory process with the public, we worked closely with City leadership and the community to design, develop, facilitate, and conduct two retreats for Board of Mayor and Aldermen of Germantown, TN. Over nine months, the process involved highly focused efforts, including individual meetings between HRS and the City Administrator, Mayor, Aldermen, and city department heads to assess the current state and cultivate an understanding of the importance of teamwork in maintaining Germantown's status as one of the best small cities in the country. Our team then generated reports from the retreats, including information analyses and strategic guidance to support the Baldrige package development. An integral part of all discussions revolved around the principles of high reliability organizations so that the city could be confident in its efforts that it had done everything possible to achieve the optimal result with the resources that were available.

Key elements of support included:

- Assessment and analysis of opportunities and challenges
- Review of Germantown 20/20, SmartGrowth, previous retreat reports and the assessment of Baldrige criteria
- Assessment of readiness
- Planning meetings to arrange schedules, timelines, necessary documents with the City Administrator
- Interviews with the Board of Mayor and Aldermen, City Administrator and key leadership
- Dashboard, progress report, based on balanced scorecard metrics
- Process coaching and mentoring
- Leadership and organizational readiness guidance and coaching

Through this initiative, we helped Germantown establish a **robust and future ready strategic framework**—one that promotes sustainability, enhances leadership effectiveness, and positions the city for long-term success.



Sample 2: Kaiser Permanente Pursuit of Operational Excellence (OE), Acceleration of Learning and Spread (XLS), and the High Reliability Operating Model (HROM). Our team (including Mr. Joe

Duhig—identified as a key staff member for this response) reviewed KP’s Business Requirements and subsequently guided efforts to streamline initiatives and better align requirements with strategic objectives. HRS identified that **current business functions had multiple methodologies and frameworks and a marked lack of a standardized approaches across its functions**. In addition, KP desired a common framework, language, and approach across all KP’s business functions to achieve its strategic planning goals and objectives. HRS evaluated existing requirements against industry best practices to improve the ability of business units to define dependencies to meet organization-wide objectives. This involved data gathering and analysis, best practice identification, process mapping, consideration of technology

alternatives to augment existing human-driven processes/human-centered design, defining non-universal terms to reduce ambiguity, developing data-driven performance metrics, obtaining stakeholder agreement, implementing improvements, and measurement/monitoring of post-process data to ensure continued alignment to updated standards.



Sample 3: Team Blackberg supported the **Veterans Health Administration (VHA) Product Effectiveness (PE)/Office of Optimizing Healthcare Value Program (OHVP)**, provided comprehensive assessments to assist VHA in achieving the maximum business value from investments through the independent identification, measurement, and analysis of business benefits. Research and analyses have covered High Reliability, Just Culture, Benefit on Investment, Social Return on Investment (SROI), Social Cost Benefit Analysis (SCBA), and Strategic Analytics for Improvement and Learning (SAIL) measures.

- Independently evaluated the implementation and operations of strategic VHA initiative people, processes, and technology for foundational, operational, and organizational value realization and optimization, applying a standardized, evidence-based, proven methodology but not implementing or managing the production.
- Assisted in launching VHACO Journey to High Reliability for formal implantation of HRO practice across 17 VHACO program offices spanning all AUSH offices. Oversaw site observation and data collection, data analysis, dashboard implementation, day-to-day project tasks, client communications, and client materials specific to HRO Pillar 1 (Leadership's Commitment), Pillar 2 (Culture of Safety & Just Culture), and Pillar 3 (Continuous Process Improvement).
- Established standardized baseline training with the completion of 330,000 employees; over 7,100 improvement projects have been created across the enterprise.

Southwestern Health Resources



Sample 4: Southwestern Health Resources (SWHR): Our team of Lean Six Sigma Master Blackbelts (LSSMBBs) led transformation efforts for the highest-rated Accountable Care Organization (ACO) in the U.S.

for the last three, consecutive years, a testament to our ability to blend leading edge solutions into a highly complex care delivery system that is functioning at the highest levels of U.S. healthcare. HRS work with SWHR to co-design their approach to Interconnected Dependability (IxID). Support included:

- Preparation of a Readiness Assessment
- Understanding the role organizational culture, particularly leadership culture, plays in the support of reliable processes and achieving the expected performance and outcomes
- Believing that a culture with consistent business discipline means Interconnected Dependability: always, everywhere, every time, for every stakeholder both internal and external.
- Application of the lean principles of flow and pull—let the customer pull value and let value flow without interruption through the creation of a value stream
- Creation and implementation of standard work
- Application of error prevention and mistake proofing concepts and tools
- Deployment of Rapid Improvement Event (RIE) approach to getting the pilot work complete
- Focus on waste elimination and value creation

3.0 Approach and Methodology for Conducting the Study

To conduct the comprehensive efficiency study, our team will integrate Lean Six Sigma and Human-Centered Design **methodologies** and High Reliability Organization principles resulting in an **Innovative and High Performing Organization**. By combining LSS/HCD with HRO principles, organizations can achieve a balanced approach that addresses both process efficiency and operational reliability. Lean's focus on waste elimination and continuous improvement complements HRO's emphasis on anticipating and managing failures. Together, these methodologies encourage proactive problem-solving, rigorous process analysis, and a commitment to continuous process improvement.

Blackberg City Fitness Framework. Rather than assess from a linear cause and effect viewpoint, Blackberg approaches efficiency studies from a complex adaptive system (CAS) lens. CAS describes dynamic and interconnected networks of diverse elements that interact with one another and with their environment, constantly adapting and evolving in response to internal pressures and external change. Cities like St. Helena exemplify a Complex Adaptive System as they operate within a diverse ecosystem of departments, residents, community partners, and regulatory bodies—each with distinct roles, needs, and influences. The City is shaped by these relationships and must continuously adapt to shifting environmental, social, technological, and economic conditions. Key CAS characteristics that apply direct to St. Helena's municipal landscape include:

- **Diversity:** The City encompasses a wide range of actors and functions—from water and public works to planning, finance, and community services—all contributing to a shared civic mission.
- **Interconnectedness:** Every function of City government is linked, whether through service delivery, budgeting, or interdepartmental collaboration. These connections also extend to residents, regional partners, vendors, and state agencies.
- **Adaptation:** The City must navigate ongoing shifts such as evolving resident expectations, state and federal regulatory changes, aging infrastructure, and technological transformation.
- **Feedback Loops:** Community surveys, financial trends, and operational performance data continuously inform future decision-making and strategic planning.
- **Emergent Properties:** City strategies and market trends can emerge from the interactions and behaviors of individuals or organizations within the system. These emergent properties are not always predictable from the characteristics of individual employees or departments.
- **Non-Linearity:** Changes in the environment may not have linear effects. Small adjustments—such as process improvements or targeted staffing investments—can lead to disproportionately large gains in service efficiency or public satisfaction.
- **Self-Organization:** Cities exhibit self-organizing behavior, where structures and processes emerge from the interactions of employees and departments without strict top-down control.
- **Dynamic Environment:** St. Helena's external environment is dynamic and in constant flux, characterized by shifts in state funding, consumer demands, climate impacts on agriculture, constituent priorities, and global economic conditions. Cities must navigate this dynamic landscape to remain efficient and forward-looking.

Team Blackberg has developed a City Fitness Framework (**See Figure 1**) to examine municipalities as the complex systems that they are and to identify strategic Lever Points. Lever Points are places where a small shift in one area can produce big changes. Those Lever Points exist at each “Element” and have strong points of interconnectedness between them.

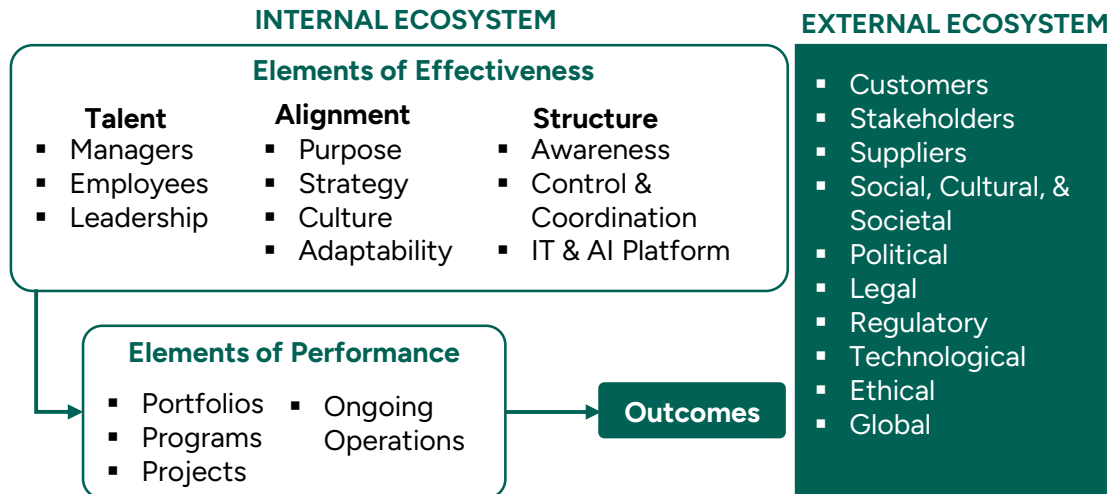


Figure 3 – Blackberg City Fitness Framework: In conducting efficiency and business transformation studies, Team Blackberg examines all elements that impact a City’s effectiveness and performance.

The City Fitness Framework encompasses both the Internal and External Ecosystems, which is perfect for this study because St. Helena wants to explore “service delivery improvements, speed of transactions, and clear cost savings targets that align with the mission of making it easier for residents to interact/do business with the City.” Specifically, the study must address both internal and external ecosystems.

Internal Ecosystem: In our City Fitness Framework, we identify three elements of effectiveness of any complex organization’s long-term success—Talent, Alignment, and Structure.

- **Talent Effectiveness:** A comprehensive talent framework is critical for attracting, retaining, and developing employees that are passionate about your organization’s purpose.
- **Alignment Effectiveness:** Aligning an organization’s purpose, strategy, culture, and adaptability are critical for long-term success. Misalignments erode trust, create controversy, and make changes nearly impossible.
- **Structure Effectiveness:** Structure provides the information, tools, guardrails, and coordination necessary for the organization to operate in a manner that achieves its purpose and mission while acting legally, ethically, responsibly, and economically.

Further, we also identify Elements of Performance. Elements of Performance include portfolios, programs, or projects, and ongoing operations. This study will include a heavy amount of examination of ongoing operations, and we will use a combination of techniques and standards to make recommended improvements and to equip the management of St. Helena with tools that they can use for Quality Management and continuous quality improvement efforts (See Figure 6).

External Ecosystem: The external environment surrounding the City of St. Helena is dynamic and increasingly complex. From climate impacts and state mandates to shifting resident expectations and workforce challenges, municipalities must remain attuned to evolving external conditions to lead effectively. Leaders must maintain situational awareness of this external ecosystem to make the strategic shifts necessary to improve organizational performance. These insights into emerging trends and risks help the City anticipate how current strengths may evolve into future vulnerabilities or how today’s opportunities could turn into tomorrow’s threats. For a City like St. Helena—facing water supply concerns, housing affordability issues, infrastructure deficits, and resource constraints—external awareness is not optional; it is foundational. By better understanding the changing landscape—technological, economic, social, and environmental—St. Helena can proactively adapt its organizational systems and strategies to remain resilient, responsive, and resident-focused.

Efficiency and Business Transformation Study Steps.

Our experts examine **people, process, and technology** for each Element in our City Fitness Framework. This approach ensures that we account for how the internal and external ecosystems are interconnected when drawing conclusions and making recommendations.

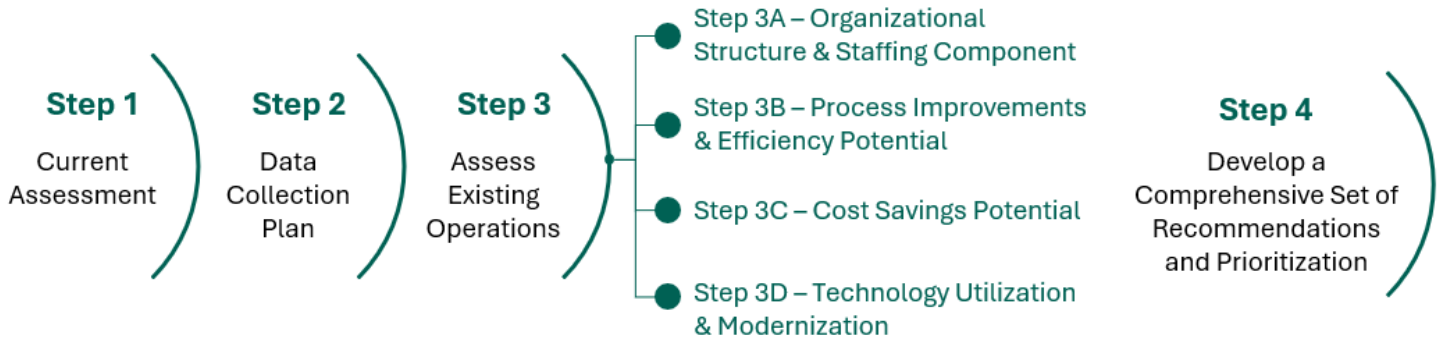


Figure 4 – Study Steps: Team Blackberg moves through four major steps in conducting the efficiency and business transformation study.

Step 1—Current Assessment

The first phase of our engagement will focus on developing a clear, data-informed picture of the current state of the City of St. Helena’s operations—specifically across administrative services, public works, planning and building, and other non-safety functions as identified in the scope of work. This assessment will center on how people, processes, and technology are currently structured and aligned, including the City’s organization and governance model. The current state analysis will address (but not be limited to) the following facets:

- ✓ Vision and Mission Clarity
- ✓ Customer Experience and Service Delivery Touchpoints
- ✓ Intake and delivery process
- ✓ Alignment to Strategic Goals
- ✓ Operational Performance and Efficiency
- ✓ Use of Financial, Technological, and Administrative systems
- ✓ Human Capital, Staffing Levels, and Organizational Structure
- ✓ Strengths and Opportunities

Step 2—Data Collection Plan (DCP)

To guide this analysis, we will develop a **DCP** that outlines sources of insight, including focus groups, stakeholder interviews, existing operational and financial data (**Adopted Fiscal Year 2023/24 & 2024/25 Budget and the Long-Range Financial Forecast (LRFF)**), and other available documentation. Our goal is to ensure a broad and inclusive understanding of the City’s internal and external perspectives. As we identify and describe processes, we complete a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis to identify the effectiveness of the process (strengths), its areas for improvement (weaknesses), and components of the process that could be exploited to improve performance (opportunities). These insights will serve as the foundation for shaping the **future-state vision** and for developing actionable, City-specific recommendations in the subsequent phases of the study.

A key component of our data collection involves validating the “Customer” understanding. With a better understanding of who the customer is and what they really need, it can help our experts identify efforts of low value or no value that could be reduced or cut to provide cost saving measures and budgetary adjustments. Additionally, it ensures our team takes a customer-centric approach at each stage of the assessment for stronger service delivery outcomes.

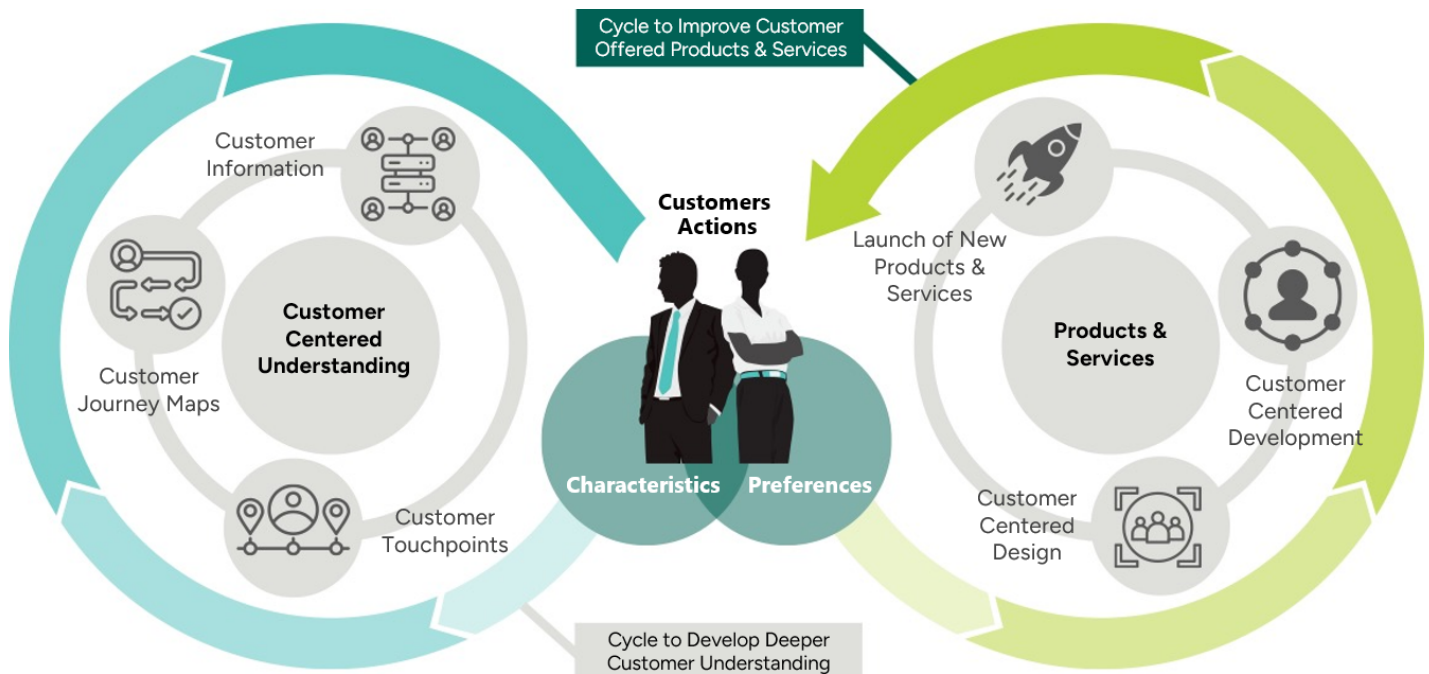


Figure 5 –Customer Centered Design: We use principles of customer centered design to develop a deeper and nuanced understanding of diverse customer groups.

Step 3—Assess Existing Operations

Evaluate departmental structures, staffing levels, and resource allocations to enhance operational effectiveness (See Section 3A). As noted above, our team will review the 20-year comprehensive list to gain an understanding of the future needs assessment with department operating budgets and expenditures. Our team will assess existing operations to encourage a culture of innovation, collaboration, transparency, equity and inclusion to deliver quality services through a dedicated and supported workforce. **Key focus areas include reviewing current retention policies, assessing employee development strategies, and understanding the need to constantly address a changing workforce.** An engaged workforce ensures timely and positive customer interactions. High vacancy rates disrupt workflows and hinder departments from achieving goals. Positive service ratings reflect effective communication and responsiveness, highlighting areas for improvement and promoting a culture of services among employees.

3A) Organizational Structure and Staffing Component.

By department, our team will assess the City of St. Helena City-wide organizational chart (excluding public safety services police and fire), span and control, number of staff that directly report to a manager/supervisor, and the centralization or decentralization of certain functions.

Structure of departments and divisions (City of St. Helena – Administrative Services Department oversees Finance Division, Human Resource Division, and Utility Billing Services Division, City Manager/City Clerk, Community Development (oversees Arts, Culture, Library, Parks and Recreation, Grants and Community Engagement), and Public Works (city infrastructure – including streets, storm drains, parks, water treatment, water distribution, wastewater collection and treatment))

Based upon the allocation of city positions (**Adopted Fiscal Year 2023/24 & 2024/25 Budget**), a significant part of the City's Operating Budget is salaries and benefits. Funding for employees who in turn provide services to our citizenry make up 45.8% of the total operational budget; amounting to \$14,218,121. Authorized positions for fiscal year 2023-2024 are 92.70 FTE's. Part-time positions make up 14.57 FTE's of the total FTE's. Not included in the above figures are 1 Mayor, 4 Council Members, 5 Planning Commissioners, Recreation Program Instructors

or Tree Maintenance Workers who are hired on an as needed basis.

Our approach to workforce planning and staffing analysis is based on comparing two dynamic components: **(1) the demand and (2) the supply** of personnel with the necessary competencies to accomplish the mission. As a result of reviewing government and industrial engineering best practices, as well as years of experience and field-testing a workforce planning model, we have identified six elements necessary for a successful strategic workforce planning system:

- Personnel allowance management system
- Competency management system
- Functional statements for each organizational element
- Workforce staffing logic and associated analytical tools
- Workforce staffing evaluation plan
- Working with the leadership team and City Staff to obtain organizational buy-in

We propose drawing from the same basic tenets, modified to account for the City of St. Helena organizational attributes and requirements, to conduct a comprehensive review of the current department staffing allocation, staff, and indicators to review the change instituted by recent requirements.

3B) Process Improvements and Efficiency Potential

Our experts evaluate a City's quality of services and efficiency parameters within the context of ISO 9001, Lean Sigma, and Lean Six Sigma (See **Figure 6**). Rather than focus on one practice, we take an integrated approach customized to the municipality and pulling upon strengths in each practice.

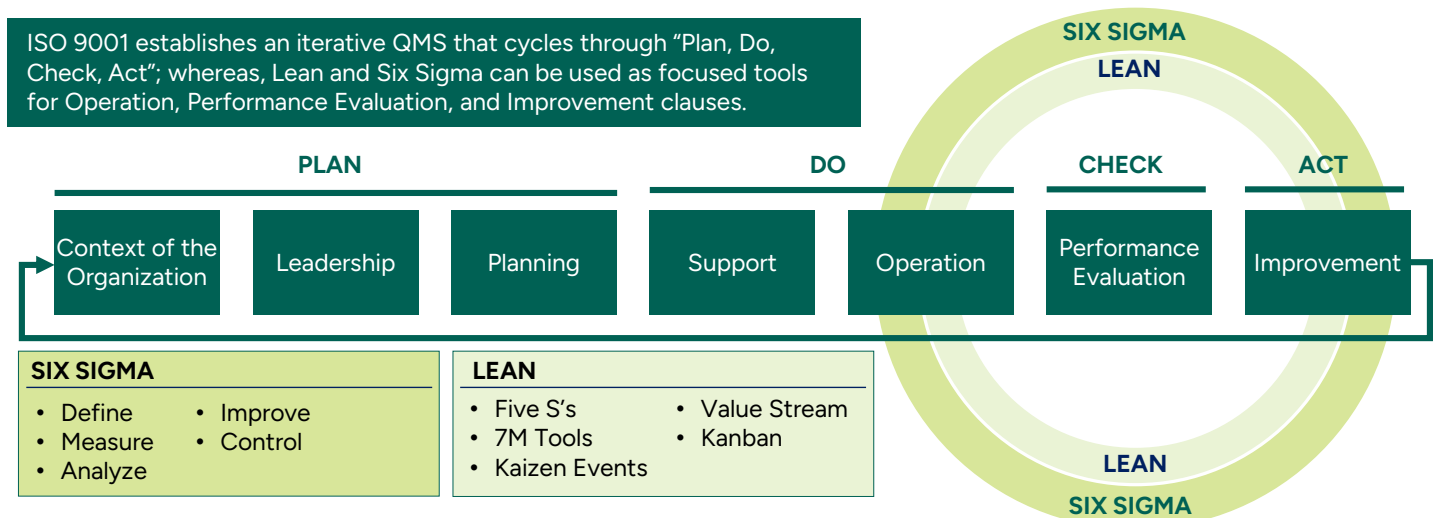


Figure 6 –Process Improvement Approach: We use a combination of ISO 9001, Lean, and Six Sigma to improve service delivery, increase speed of transactions, and secure cost savings while making it easier for residents to interact and do business with St. Helena.

Lean Six Sigma and Industrial Engineering programs fully integrated to support the robust process improvement methodology characterized by the improvement model for the High Reliability Organization focuses on **efficient and effective operations**. Our team works to establish a platform to catalyze human performance and process performance through strategic alignment, redundancy, and establishment of scalable, agile resources to improve business performance throughout the organization.

Our Process Improvement (PI) SMEs support the provision or development of program management best

practices, processes, standards, and procedures targeting the managing of program activities between Departments and other business lines.

- We will analyze program/project progress to identify and resolve issues with resource accounting, reporting, life-cycle management reviews, and impact assessments.
- Identify potential risk areas to be addressed through a gap analysis between requirements and resources.
- Assist in identifying unwarranted variations in business processes to increase standardization and promote high reliability principles.
- Identify program areas to standardize by evaluating best practices.
- Provide enduring strategic support to prioritize and scope Process Improvement (PI) opportunities – recurring support.
- Provide assistance and support services to ensure that people, processes, technology, and policies are optimally aligned.
- Provide recommendations to automate targeted processes to meet the mission, including updating, consolidating, and generating new policy, and leveraging information technology to streamline workflows through standardized data and network processes, templates, and tools to allow the department to perform programmatic activities more efficiently and effectively.

3C) Cost Savings Potential

Cost savings can be achieved through the **application** of Lean methodologies and Six Sigma (See Figure 6). Lean focuses on maximizing customer value while minimizing waste, aiming to optimize the flow of products and services across entire value streams. **This results in processes that require less human effort, space, capital, and time to produce goods or services at a lower cost and with fewer defects.** Six Sigma, conversely, is a disciplined, statistical-based, **data-driven approach and continuous improvement methodology** designed to eliminate defects in products, processes, or services.

We will work with City Staff to evaluate the input collection (below) to review potential for cost savings.

Input:

- Learn about the budget and Long-Range Financial Projections (noted in previous steps), including trends in cost of services, goods, insurance, labor, construction, and more
- Learn about city revenue sources and limitations of them
- Speak with department directors and other city leaders about the services the city provides, levels of service, have discussions about the current level of service and how future growth may impact service delivery and costs
- Review comparative city data
- Develop recommendations for future levels of service, cost reductions, new revenue options (as applicable or required), combinations thereof, and incorporate them into the Final Report

Output: Assessment of budget utilization to identify potential expenditure savings/reductions while maintaining service quality.

3D) Technology Utilization and Modernization

Team Blackberg uses a structured, data-driven approach to evaluate the organization's current technology landscape, identify gaps, and propose actionable solutions for automation and digital integration. We begin by defining the scope and objectives, working closely with the City to understand its priorities, such as reducing operational costs, improving process cycle times, or enhancing customer-facing digital touchpoints. For example, the assessment might focus on specific departments like finance, operations, or customer service, or encompass

the entire organization. Key success metrics, such as ROI, error rate reduction, or employee productivity gains, would be established to measure outcomes. We conduct kickoff meetings with executives, IT leaders, department heads, and end-users to align on expectations and gather initial insights into pain points and technology usage.

Current State Assessment. The next phase involves a thorough evaluation of the City’s existing technology stack, processes, and digital maturity. Data collection is multifaceted, combining qualitative and quantitative methods to build a comprehensive picture. We conduct interviews and surveys with stakeholders to understand workflows, technology challenges, and user experiences, while also observing processes firsthand or reviewing documentation to map operational workflows. To gauge digital maturity, we apply a Digital Maturity Framework, scoring the City across dimensions such as data analytics, cybersecurity, cloud adoption, and user experience. This classifies the organization as a beginner, emerging, connected, or transformed entity, providing a benchmark for improvement. We then use a gap analysis to identify inefficiencies, such as manual data entry in accounts payable, redundant systems causing data silos, or underutilized software features. Risks, including legacy system vulnerabilities or cybersecurity gaps, would also be highlighted. Tools like process mining software (e.g., Celonis) for workflow visualization, IT asset management platforms (e.g., ServiceNow) for inventory tracking, and SWOT analysis for summarizing strengths, weaknesses, opportunities, and threats would support this phase, ensuring a robust understanding of the current state.

Opportunity Identification. With a clear picture of the current state, we identify opportunities where automation and digital integration can drive significant value. For automation, we focus on repetitive, rule-based tasks suitable for Robotic Process Automation (RPA), such as invoice processing or employee onboarding, which could reduce cycle times by up to 50%. Workflow automation using low-code platforms like Microsoft Power Automate would target processes with high error rates or delays, such as inventory reconciliation. We present and recommend advanced technologies, including AI for predictive analytics (e.g., demand forecasting), machine learning for fraud detection, or chatbots for customer service, for higher-impact cases. IoT and sensor-based solutions could enable real-time monitoring, such as predictive maintenance where applicable.

For digital integration, we prioritize system interoperability to eliminate data silos that hinder efficient municipal operations. For example, integrating citizen relationship management (CRM) systems with enterprise resource planning (ERP) platforms using APIs or middleware (e.g., MuleSoft) could streamline processes like permitting, licensing, or service request management, ensuring seamless data flow across departments. Migrating legacy systems to secure cloud platforms like AWS or Azure would enhance scalability, improve system resilience, and reduce IT maintenance costs, aligning with budget constraints. Centralizing data through data lakes or warehouses (e.g., Snowflake) would enable unified analytics, empowering City leaders with insights into evidence-based decision-making, such as optimizing resource allocation or addressing community needs. Resident-facing integrations, such as mobile apps or self-service portals built on platforms like Salesforce or CivicPlus, would enhance accessibility and engagement by allowing residents to report issues, pay bills, or access services online. To prioritize these opportunities, we use a prioritization matrix, scoring each based on impact (e.g., cost savings, service improvements, resident satisfaction) and feasibility (e.g., implementation cost, technical complexity, timeline), ensuring alignment with the city’s mission to deliver equitable and efficient public services.

Step 4—Develop a Comprehensive Set of Recommendations and Prioritize

Team Blackberg translates opportunities into actionable solutions customized to the City’s needs, priorities, and budgetary constraints. These solutions would focus on enhancing service delivery, improving operational efficiency, and promoting equitable access to municipal services for all residents. For automation, short-term initiatives (0–6 months) would prioritize quick wins with minimal disruption. For example, deploying Robotic

Process Automation (RPA) could automate high-volume tasks like processing permit applications or managing service requests, reducing processing times by up to 50%. Medium-term initiatives (6–18 months) might include implementing AI-powered chatbots to handle resident inquiries, decreasing response times by 30%, or deploying IoT sensors for real-time monitoring of municipal assets, such as water meters or fleet vehicles, to optimize maintenance schedules. Long-term strategies (18+ months) could involve developing machine learning models to predict service demands, such as waste collection needs, improving resource allocation accuracy by 20%, or automating compliance reporting to streamline audits and reduce administrative costs. For digital integration, short-term actions (0–6 months) would focus on enhancing interoperability to eliminate data silos. For instance, integrating citizen relationship management (CRM) systems with enterprise resource planning (ERP) platforms via APIs could streamline processes like complaint resolution or budget tracking, improving inter-departmental coordination. Adopting single sign-on (SSO) would simplify access to municipal systems for employees, enhancing productivity and security. Medium-term plans (6–18 months) could include migrating on-premises servers to a secure hybrid cloud model, reducing IT maintenance costs by 15%, or implementing a citizen data platform to consolidate resident data for better service planning, such as targeting community programs to underserved areas. Long-term recommendations (18+ months) might involve developing a city-wide digital twin to simulate infrastructure operations, optimizing traffic flow or emergency response, or launching a fully integrated mobile app that allows residents to report issues, pay utility bills, or access services seamlessly. These initiatives would prioritize accessibility, ensuring digital tools are user-friendly and available in multiple languages to serve diverse communities. A summary of our approach, following the steps described above, are depicted in **Table 1-Project Placemat**.



Table 1: Project Placemat

Step	Actions	Outcomes	Requirements Mapping
❶ Assess Organizational State	Assess business functions through interviews, workflow review, observations, operating budgets and expenditures, and review the City's administrative process and procedures Evaluate organization/employee's perception and attitude toward performance and workplace culture	Implement the Assessment Survey; Develop the DCP, Document processes and conduct SWOT analysis, conduct a Gap Analysis; Develop Organizational/Business Function Self-Assessment	Conduct a comprehensive assessment of existing operations Identifying inefficiencies, redundancies, process bottlenecks, and cost savings potential Identifying areas where technology can be used or modernized to aid in City of St. Helena processes
❷ Data Collection Plan	Review information acquired during Step 1 to identify and prioritize gaps; Collaboratively review key processes; Identify efficiencies; Deconstruct the top priority processes into actionable components; Identify the capabilities needed for each business function	Delineate the pivotal transformation requirements; Apply process improvement method; Establish a general organizational sequence of targets; Develop an Action Plan; Conduct analysis debrief	
❸ Process Design - Identify Policy and Process Improvements	Identify organization and business unit-specific policies and processes for improvement; Quantitatively assess the level of effort required; Organize infrastructure for communication and integration; Develop a system of continuous process improvement	Build a "system" of metrics; Achieve more predictable performance; Benchmarking Report outlining cities of comparable size and service levels and highlighting best practices; Produce evidence-based, written documentation; Develop a schedule for auditing performance (operational efficiencies)	
❹ Prioritize Recommendations			Developing a comprehensive set of recommendations to improve operational efficiency, enhance service delivery, reduce costs, and/or optimize resource allocation. Presenting comprehensive set of recommendations (Transformation Strategy Report/Final Report (deliverable) to the City Council

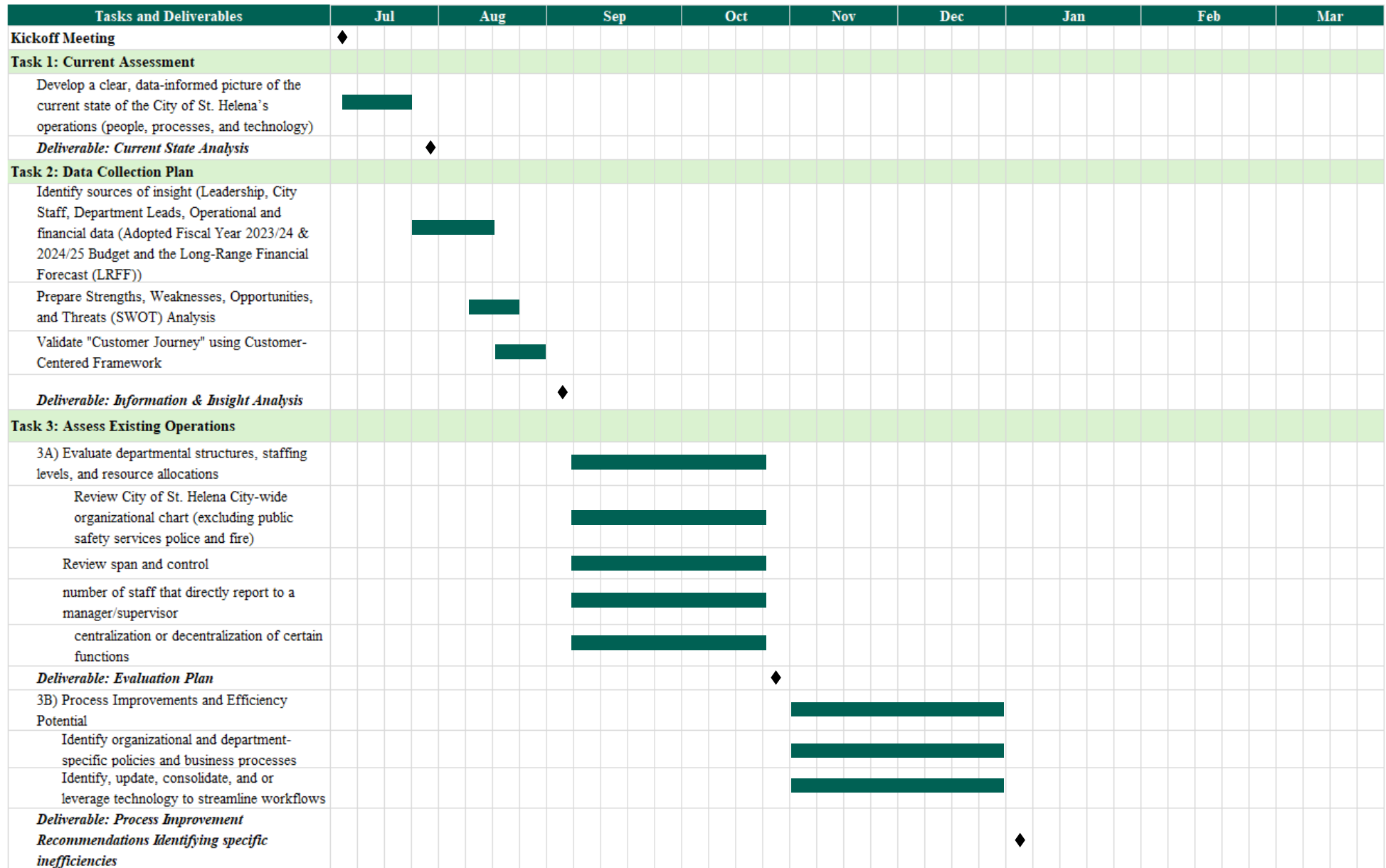
4.0 Detailed Project Timeline and Deliverables

Team Blackberg plans to complete all tasks and deliverables within 9-months. The project Gantt Chart (See **Figure 7 – next page**) provides a high-level overview of the major tasks, sub-tasks, and deliverables. We will work collaboratively with City Staff to gather, analyze, and report on results. We use a “Closed-Loop Program Management (CL-PM) plan to address the organizational and management approaches necessary to ensure the success of the program. The CL-PM plan aligns to and complies with the Project Management Institute’s (PMI) Project Management Body of Knowledge (PMBOK). It also integrates International Standards Organization (ISO) 9000 quality management principles that are part of the broader Team Blackberg Quality management System. Additionally, we send transparent weekly progress reports and meet at a minimum monthly with key stakeholders to deliver a progress report.

Deliverables: Final Report summarizing a menu of strategies to achieve efficiency and business transformation. The report shall present findings, recommendations, and potential for further inquiry emphasizing measurable outcomes such as: service delivery improvements, speed of transactions, and clear cost savings targets that align with the mission of making it easier for residents to interact/do business with the City. The final report should include (as applicable):

- a. **Staffing and Operational Analysis** with proposed restructuring and efficiency recommendations.
- b. **Process Improvement Recommendations** identifying specific inefficiencies.
- c. **Technology Utilization Assessment** with recommendations for automation and digital integration.
- d. **Financial Efficiency Review** outlining cost-saving measures and budgetary adjustments.

Figure 7 – Gantt Chart: Team Blackberg plans to complete the project in six months in accordance with the following Gantt Chart.



Tasks and Deliverables	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
3C) Cost Savings Potential									
Assessment of budget utilization to identify potential expenditure savings/reductions while maintaining service quality									
<i>Deliverable: Financial Efficiency Review outlining cost-saving measures and budgetary adjustments</i>									
3D) Technology Utilization and Modernization									
Assessment and Opportunity Identification									
<i>Deliverable: Technology Utilization Assessment</i>									
Task 4: Develop Recommendations									
Develop Recommendation list									
Short-Term Recommendations									
Mid-Term Recommendations									
Long-term Recommendations									
<i>Deliverable: Recommendations</i>									
Draft all sections (menu of strategies)									
Desktop publishing review									
Present Recommendations to the City Council									
<i>Deliverable: Final Report and Presentation</i>									
Gather feedback									
Update and finalize document									
<i>Deliverable: Final Report and Presentation</i>									

5.0 Team Composition and Technical Qualifications

We assembled a team of Subject Matter Experts (SMEs) with more than 40 years of combined experience delivering similar services. Team includes our Project Manager/**Performance Improvement SME** Mr. Joseph Duhig who brings 40+ years of experience leading transformation initiatives, strategic planning and process improvements. Our Strategist Ms. Leanne Reisz brings more than a decade of experience in strategic planning, community engagement, and communications in the public sector. Qualifications and experience of key personnel below:



Project Manager (KEY)/Performance Improvement SME: Joseph Duhig, MBA, CLSSMBB

Joseph Duhig is an accomplished Senior Executive with more than 30 years of success across healthcare, technology, financial services, manufacturing and information technology industries. As both a leader and consultant, he has helped organizations navigate through uncertain times to achieve remarkable business transformation. He specializes in leading large, complex change initiatives. Whether

it involved the creation of a new academic medical center as CEO of the University Medical Center Alliance in Memphis, helping to establish a global brand with Samsung Electronics, serving as transformation leader for a \$1 billion investment in an electronic health record solution for Sutter Health or working to build a culture of continuous improvement across Kaiser Permanente's Enterprise Shared Services and Finance totaling over 60,000 employees and \$25 billion in annual spending, he brings together people, process and technology to enable organizations to achieve their desired future state and reliably meet their business goals. Joseph acted as a Senior Advisor to the Kaiser Permanente Performance Improvement and High Reliability Operation Model programs.

As one of the early practitioners of Health Systems Engineering, his personal passion and purpose are to improve the quality, safety, affordability, and care experience of patients and their families in accessing and receiving the care they need. From the earliest days of CQI until today, Joseph has worked with hundreds of hospitals and health systems in all 50 states. From Norton Sound Health System in Nome Alaska; Methodist Le Bonheur Healthcare in Memphis; Tripler Army Medical Center in Hawaii, Kaiser Permanente; Memorial Health in Savannah, Bon Secours Health System from Michigan to Florida; SCL Health in Kansas and Colorado; Anthem BCBS in Maine and many, many more. He has worked as a mentor, coach, teacher, strategic advisor and leader within hundreds of hospitals and with thousands of doctors, nurses, pharmacists, executives and most importantly the front-line teams engaged in care delivery every day. Today, he is proud to be known simply as "PI Joe" to the thousands of healthcare professionals whose lives and careers he has influenced. Joseph received his Bachelor of Science in **Industrial Engineering** and Certificate in Health Systems Engineering from the Georgia Institute of Technology. He obtained his Master of Business Administration from Wilmington University. He is a **Certified Six Sigma Master Black Belt and Lean Sensei** from Juran Institute. For the past 12 years he has served as faculty for the Advanced Training Program (ATP) offered by Intermountain Healthcare and recently has served as Lecturer at Loyola Marymount University teaching Big Data Analytics for Population Health in the Graduate Systems Engineering Program.



Ms. Reisz, **Strategic Planner**, has more than a decade of experience supporting public sector clients with strategic planning, analytics, community engagement programs, and strategic communications. These clients span the Department of Defense, Department of Homeland Security, Veterans Health Administration, U.S. Agency for International Development (USAID), Student Veterans of America, and more. Additionally, she has led diverse public-private partnerships to expand public sector impact and forge stronger community partnerships that support public sector goals. These collaborations have included new public sector partnerships with large corporations like Uber Health and Microsoft as well as smaller think tanks and

academia. In addition to her expertise in strategic planning and community activations, Ms. Reisz is an expert facilitator and community event organizer—conducting dozens of offsites, strategic planning sessions, workshops, and community events each year. In 2024, she led more than 20 events, workshops, and planning sessions for the public sector. Notable public sector experience relevant to this project includes:

- Developing the 2025-2027 Strategic Plan for the Veterans Health Administration Office of Healthcare Innovation and Learning (VHA OHIL) and facilitating subsequent quarterly leadership offsites to guide actionable implementation.
- Supporting the design and development of the Federal Emergency Management Agency’s Office of the Chief Information Officer’s Strategic Plan and subsequent Actionable Roadmap.
- Facilitated stakeholder interviews and multi-day offsites to craft a Department of Education Strategic Plan focused on emerging innovations. Analyzed and prioritized education-focused innovations to develop an actionable Implementation Plan for the Department.
- Crafting the Defense Information Systems Agency Joint Service Provider (DISA JSP) Strategic Plan through focus groups with 60% of the workforce, interviews with other government agencies, and facilitated leadership offsites.
- Facilitating monthly DISA JSP executive leadership strategy sessions on the strategic plan’s implementation, including the development of a new operating model and governance model.
- Leading dozens of community outreach events, workshops, interviews, and focus groups each year.
- Expertise in mass communication—including writing that is accessible to diverse communities and resonates with citizens for increased buy-in.

We have included a summary for our **Executive Leadership (Supervisory)**, Emily Uhl, and Spence Byrum, available to flex onto the project for specialized needs, demonstrating a depth of expertise across a breadth of disciplines for robust and actionable plans.

Emily Uhl – Emily is a United States Naval Academy graduate whose leadership and management skills were honed during her twelve years as a Nuclear-qualified Surface Warfare Officer serving the U.S. Navy and U.S. Navy Reserve. Her commitment and adeptness in collaborating effectively with senior leadership and clients resulted in her accelerated promotions, both in the Navy and in the civilian sector.

Spencer Byrum – Spencer is a highly sought-after speaker, author, and Chief Executive Officer of HRS Consulting. He is a former Coast Guard rescue pilot, Head of Standardization and Training, and an internationally-known expert on the subject of human performance in challenging, time-critical environments. He has developed and delivered training to all US Combat Air Forces, Air National Guard, Project Engineers, and Project Managers.

6.0 Our Collective Robust Capacity

With more than 15 years of experience and a deep bench of experts, **Team Blackberg** has established a **robust capacity** to deliver the necessary services. Our collective team is comprised of 40+ employees with 40+ years of

experience in relevant services. This experience is heavily focused on the public sector, but it also includes international, academic, and private sector clients. Furthermore, Blackberg assigns a member of the executive leadership team to each project for oversight, reach back, and quality assurance. In addition, Blackberg has a Director of Operations for contractual and back- end operational support and a Creative Director who oversees the creative direction of all final plans and reports. These managerial resources are integrated into all pricing, ensuring they are available for surge support, quality assurance, and executive reach back on every project. We also maintain 30+ trusted 1099 resources on roster for specialized expertise.

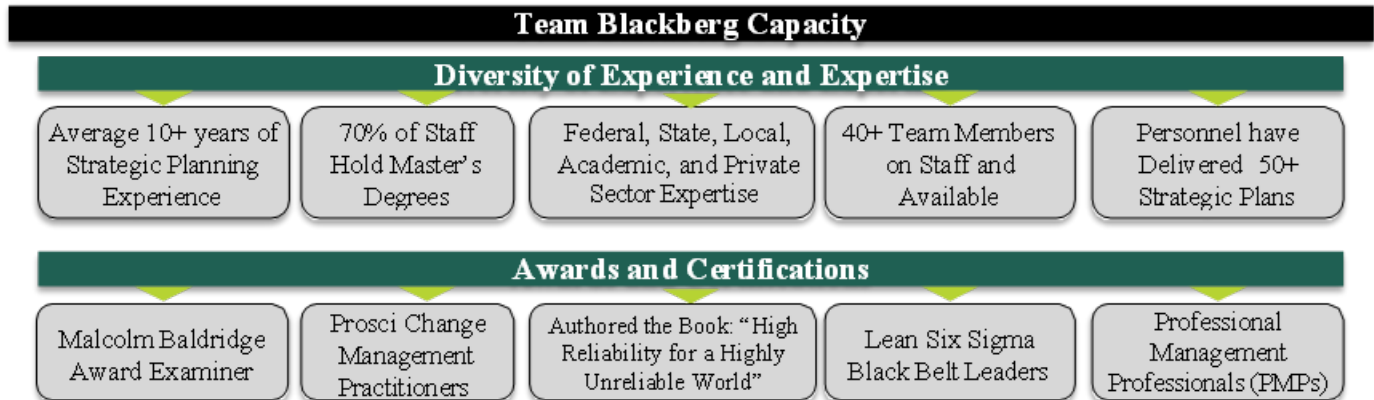


Figure 8 –Team Blackberg Capacity: *We use a combination of ISO 9001, Lean, and Six Sigma to improve service delivery, increase speed of transactions, and secure cost savings while making it easier for residents to interact and do business with St. Helena.*

Jack Ellison (Certified Lean Six Sigma Master Blackbelt) is an experienced process improvement advisor and military veteran with over 15 years of leadership experience in performance improvement, operational excellence, and organizational transformation across federal, public, and private sectors. As a **Certified Change Management Practitioner and Baldrige Performance Excellence Program Examiner**, Jack has directed high-impact projects with a focused approach to eliminating waste, improving quality, and enhancing measurable outcomes. His data-driven, results-oriented approach has delivered sustained improvements in productivity and strategic alignment by aligning people, processes, and technology.

7.0 Total Costs Including Fee Structure

Task 1	Scope			
Current Assessment	- Assess business functions through interviews, workflow review, observations, operating budgets and expenditures, and review the City’s administrative process and procedures - Evaluate organization/employee’s perception and attitude toward performance and workplace culture - Review information acquired during the current assessment to identify and prioritize gaps; Collaboratively review key processes; Identify efficiencies; Deconstruct the top priority processes into actionable components; Identify the capabilities needed for each business function; Develop Action Plan			
Timeframe	1 Month			
Report	Current State Analysis			
Cost	\$10,000.00			
Task 2	Scope			
Data Collection Plan	- Identify organization and business unit-specific policies and processes for improvement; Quantitatively assess the level of effort required; Organize infrastructure for communication and integration; Develop a system of continuous process improvement			
Timeframe	1.5-months			
Report	Information and Insight Analysis			
Cost	\$15,000			
Task 3	Scope			
Assess Existing Operations	- Review budget and financial projections, trends in costs, revenue sources and their limitations. - Discuss service levels with directors and leaders and consider how growth may affect services and costs. Review comparative city data. - Develop recommendations for future service levels, cost reductions, new revenue options			
Timeframe	5 months			
Report	Evaluation Plan, Process Improvement Recommendations, Financial Efficiency Review, and Technology Utilization Assessment			
Cost	\$50,000			
Task 4	Scope	Timeframe	Report	Cost
Develop Recommendation	- Develop Short-Term Recommendations, Mid-Term Recommendations, and Long-Term Recommendations - Draft all sections and present to the City Council - Refine draft deliverable with feedback and submit.			
Timeframe	2.5 months			
Report	Final Report with Staffing and Operational Analysis, Process Improvement Recommendations, Technology Utilization Assessment, and Financial Efficiency Review.			
Cost	\$25,000			

8.0 References from Past Clients with Similar Projects

Reference 1	
Name and Title	Mike Palazzo, Mayor
Email Address	Mayor@Germantown-TN.gov
Phone Number	(901) 757-7201
Scope of Services	
Our team partnered with the Mayor and City Administrator to combine the City's Smart Growth Plan (its general land use plan), its Triple Bottom Line (the economic, environmental, and social sustainability plan),	

annual budget, and the Germantown Plan into a single, focused strategic approach that was compliant with Baldrige evaluation criteria. The Baldrige Excellence Framework, used for evaluating organizations including cities, focuses on seven key areas—Leadership; Strategy; Customers’ Measurement, Analysis, and Knowledge Management; Workforce; Operations; and Results. Through the unified plan, we aimed to advance measurable and sustainable improvement in the ability of all senior leadership to function as effective collegial teams in pursuit of continuous improvement for the City and its residents. Through an inclusive and participatory process with the public, we worked closely with City leadership and the community to design, develop, facilitate, and conduct two retreats for Board of Mayor and Aldermen of Germantown, TN. Over nine months, the process involved highly focused efforts, including individual meetings between HRS and the City Administrator, Mayor, Aldermen, and city department heads to assess the current state and cultivate an understanding of the importance of teamwork in maintaining Germantown's status as one of the best small cities in the country. Our team then generated reports from the retreats, including information analyses and strategic guidance to support the Baldrige package development. An integral part of all discussions revolved around the principles of high reliability organizations so that the city could be confident in its efforts that it had done everything possible to achieve the optimal result with the resources that were available.

Key elements of support included:

- Assessment and analysis of opportunities and challenges
- Review of Germantown 20/20, SmartGrowth, previous retreat reports and the assessment of Baldrige criteria
- Assessment of readiness
- Planning meetings to arrange schedules, timelines, necessary documents with the City Administrator
- Interviews with the Board of Mayor and Aldermen, City Administrator and key leadership
- Dashboard, progress report, based on balanced scorecard metrics
- Process coaching and mentoring
- Leadership and organizational readiness guidance and coaching

Reference 2

Name and Title	Kristopher “Kit” Teague, Executive Director
Email Address	Kristopher.Teague@va.gov
Phone Number	(650) 690-6844

Scope of Services

Blackberg supports the VHA Innovation Ecosystem with project management, process improvement, organizational structure, and technology modernization. For the organizational structure and staffing plan, our team first conducted a comprehensive audit of all programming, anticipated project needs, and different organizational models. We then facilitated a multi-day offsite with leadership to establish a recommended restructure and staffing needs. For each innovation project, we also lead process development and improvements. Rooted in Lean Six Sigma best practices, our Black Belt certified project manager then created process maps and standard operating procedures that serve as living documents for the program. Additionally, Blackberg support a Veterans Health Venture Studio comprised of a hackathon, make-a-thon, and accelerator program. The program is specifically focused on assessing current technology utilization and creating new artificial intelligence, automations, and digital integrations within VA. Our team supports assessments, reports, and communications for the program. For all innovation programs and portfolios, our project management team monitors for financial efficiency and impact. We recently developed a master impact report for all projects and portfolios that outlines cost-savings and patient impact.

Efficiency and Business Transformation Study

July 22, 2025



Background

► January 14, 2025

- Council Member Barak proposed an agenda discussion to reduce costs through optimization and modernization
- City Council supported adding to a future agenda

► January 28, 2025

- Staff Report was presented listing actions staff has already undertaken to enhance efficiency and improve processes
- Recommended City utilize services of a consult to improve efficiency and business transformation



RFP Process

- ▶ Released on March 28, 2025
- ▶ Deadline to submit was April 25, 2025
- ▶ 7 Responses
 - ▶ Blackberg Group
 - ▶ Business Management Associates (BMA)
 - ▶ Gunter Consulting Inc.
 - ▶ Matrix Consulting Group
 - ▶ NiVack Group
 - ▶ PeopleOps Plus
 - ▶ Raftelis



Review Criteria

- ▶ Relevant Experience and Qualifications
- ▶ Understanding of Project Scope
- ▶ Proposed Methodology and Approach
- ▶ Value and Cost-Effectiveness
- ▶ Clarity of Deliverables and Timeline



Interviews

- ▶ Each firm was scored and top three were interviewed via Zoom/Microsoft Teams
- ▶ Interviews took place on May 22 and May 28 with:
 - ▶ Blackberg Group*
 - ▶ Matrix Consulting Group*
 - ▶ NiVack Group
 - ▶ **Second round interviews took place on July 1*
- ▶ Interview questions focused on:
 - ▶ Organizational Analysis
 - ▶ Technology Assessment
 - ▶ Capacity to Deliver Actionable Recommendations Suited to a Small, Full-Service City Like St. Helena.



Decision

- ▶ After a thorough evaluation process, the panel unanimously recommended **Blackberg Group** for contract award based on the following strengths:
 - ▶ Demonstrated success conducting transformation studies in similar-sized municipalities
 - ▶ A thoughtful and phased methodology that balances efficiency, service quality, and fiscal discipline
 - ▶ A well-qualified, multidisciplinary team with expertise in municipal operations, organizational development, and digital modernization
 - ▶ Strong references and evidence of measurable outcomes in past projects



Project Timeline

▶ August 1, 2025

- ▶ Work Begins
- ▶ Phased Approach:
 - ▶ Current Assessment (August 2025)
 - ▶ Data Collection Plan (August 2025 & September 2025)
 - ▶ Assess Existing Operations (September 2025 to February 2026)
 - ▶ Develop Recommendations (February 2026 to April 2026)

▶ Early 2Q 2026

- ▶ Report and Presentation Delivered to City Manager and City Council



CITY OF ST. HELENA
RESOLUTION NO. 2025-080

Resolution Authorizing the City Manager to Execute a Professional Services Agreement with Blackberg Group LLC. to perform an Efficiency and Transformation Study for a total contract amount not-to-exceed \$100,000, with an option to extend for two additional years.

RECITALS

- A. On March 28, 2025, a Request for Proposals (RFP) was issued to solicit proposals from qualified firms to conduct an Efficiency and Transformation Study; and
- B. The City received seven responses in response to the RFP; and
- C. Following an initial evaluation, the top three firms were invited to participate in interviews; and
- D. Based on a comprehensive review of qualifications, relevant experience, proposed pricing, and overall approach, staff recommends the selection Blackberg Group LLC; and
- E. The City desires to hire a Consultant to perform an Efficiency and Transformation Study not to exceed \$100,000.

RESOLUTION

NOW, THEREFORE, the City Council of the City of St. Helena resolves as follows:

- 1. Authorize the City Manager to execute a Professional Services Agreement with Blackberg Group LLC for an Efficiency and Business Transformation Study for a total contract amount not-to-exceed \$100,000.

- 2. Funding is as follows:

Description	Fund	GL Account	Amount
FY 26-27 Operating Budget	General Fund	101-42-00-21-45	100,000
Total Not-To-Exceed			100,000

Approved at a Regular Meeting of the St. Helena City Council on July 22, 2025, by the following vote:

Mayor Paul Dohring: YES

Vice Mayor Deasy: YES

Council Member Barak: YES

Council Member Spadarotto: YES

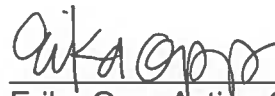
Council Member Summers: NO

APPROVED:



Paul Jamison Dohring, Mayor

ATTEST:



Erika Opp, Acting City Clerk





Current State Analysis

SEPTEMBER 10, 2025

Efficiency and Business Transformation Study



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1.0 Executive Summary

Blackberg Group conducted a Current State Analysis for the City of St. Helena (City) to evaluate its operational structure, processes, and alignment with resident-focused goals. The primary objective is to assess business processes, identify inefficiencies, and recommend transformation strategies, with the goal of realigning services, technology, and structure to enhance resident access and efficiency. This analysis, the first step in the Efficiency and Business Transformation Study, utilized Blackberg's City Fitness Framework (CFF) (See Figure 2), focusing on Structure while considering Talent, Culture, and Ongoing Operations as interrelated elements. For clarity, our study focuses on identifying weaknesses and threats to the City's efficiency and effectiveness. Therefore, you will find a significant focus on various issues; however, this should not be misconstrued as the City lacks strengths and opportunities. The City has **many strengths and opportunities** that you will find discussed in section 4.3 of this deliverable.

The methodology comprised four steps: Document Review, Survey, Structured Interviews, and Analysis. In Step 1, Blackberg reviewed key documents, including the 5-year Capital Improvement Program, Draft Budget 26-27 (232 pages), Fiscal Operating Budgets for 2023-24 and 2024-25, Employee and Resident Surveys, and organizational charts, revealing structural deficits and budget complexity for a town of ~5,800 residents. Step 2 involved a 23-question anonymous survey via Microsoft Forms, open for 3.5 weeks, with 53 responses (~59% of ~90 employees). It assessed resident satisfaction, process challenges, resource access, and bottlenecks, with Police and Public Works noting equipment and delay issues.

Step 3 included 36 structured interviews (45-75 minutes each) via Microsoft Teams, covering the City Departments and various Divisions within those Departments. The structured interviews explored organizational structure, processes, efficiency, technology, culture, resident interactions, and forward-looking perspectives. Step 4 synthesized findings, identifying themes under "Awareness" (immature processes, CMMI Level 1, excessive budgeting), Control & Coordination (low maturity, 57% process challenges), Talent (30% staffing shortages), and Culture (39% "Sometimes supported" leadership). We highlight the key findings of both the survey and structured interviews below.

Key Findings

The City is moving in a positive direction. We saw evidence of this in various Departments and levels of employment (Executive, Mid-level, and staff). City employees generally have a positive culture in which they are focused on improving the City and are actively seeking innovations to improve efficiency and effectiveness. However, the current state also includes many weaknesses and threats:

- 1) There have been significant efforts made in the past two years to improve the overall management of the City. Most City employees recognize this and find it a source of encouragement to continue improvements. However, even though there have been improvements, it is clear that there is room for many more.
- 2) An overall lack of situational awareness within the City exists. This is driven by a lack of quantitative information flowing upward through management and executive leadership. This is primarily driven by immature processes.
- 3) A low level of organizational maturity evidenced by ad hoc and undocumented processes. Based on the Capability Maturity Model Integration (CMMI), we rate the City's processes as a 1 out of 5 (lowest level of maturity). In many parts of the City, there exists detailed standard operating procedures (SOPs); however, there is a severe lack of documentation of high-level process flows and quantitative data about performance.
- 4) No governance model for policies, processes, and standard operating procedures. This includes the lack of a central repository for these documents and a lack of methodology for indexing.
- 5) No evidence of Key Performance Indicators (KPIs) crafted to track overall processes.
- 6) Inadequate asset management systems (this is potentially severe but needs further investigation). We see the inadequacy primarily at an executive level. There are tools to track assets at Department levels (some robust, some excel spreadsheets); however, centralized asset management appears to be lacking. This is an example of our aforementioned concern about "situational awareness".
- 7) The City has been exploring AI for at least a year. While the City has not implemented AI, it has considered its use in several areas. However, we find no evidence of purposeful objectives to use AI or prepare for future AI use. The low maturity level of processes will make it much more challenging to adopt AI in the future.
- 8) Many positive responses and evidence of the implementation of IT Services. The purchase of these IT Services pair with purposeful efforts to automate tasks, improve tracking, digitize storage, and improve transparency. Our primary concerns in this area are potential integration issues and potentially pushing bottlenecks further down the process

flow, reducing the benefits of IT Services on total throughput time. At this time, we do not know if any integration issues or bottlenecks exist from IT implementation; however, we plan to investigate this concern in the near future.

- 9) Employees report feeling comfortable providing recommendations for improvement to their supervisors and identified weekly meetings as venues where they can share their ideas. However, this is not consistent across all Departments.
- 10) Low pay and high work volume are generating negativity in the culture with uncertainty about position stability and future advancement.
- 11) Employees would like more opportunities for training that help them to advance in their career or general management knowledge.
- 12) Employees say that there is understaffing. This appears to be particularly acute within Administrative Services.
- 13) City employees define success as: “there are no complaints or problems”. This demonstrates that ongoing operations are highly reactionary about concepts of quality.

2.0 Background and Purpose

Blackberg conducted this study to develop an initial “Current State Analysis” of the City of St. Helena (City). Blackberg’s engagement with the City has a primary objective and primary goal:

- **Objective** - assess current business processes, identify inefficiencies, and recommend strategies for improvement and transformation.
- **Goal** - align City services, technology, and organizational structure in a way that makes it easier and more efficient for residents to access services and conduct business with the City.

The Current State Analysis is the primary deliverable for “Step 1” that is shown in Figure 1. The purpose is to provide a clear, data-informed picture of the current state of the City’s operations. This includes Assessing business functions through interviews, workflow review, observations, operating budgets and expenditures, review the City’s administrative process and procedures, and evaluate the organization/employees’ perception and attitude toward performance and workplace culture.

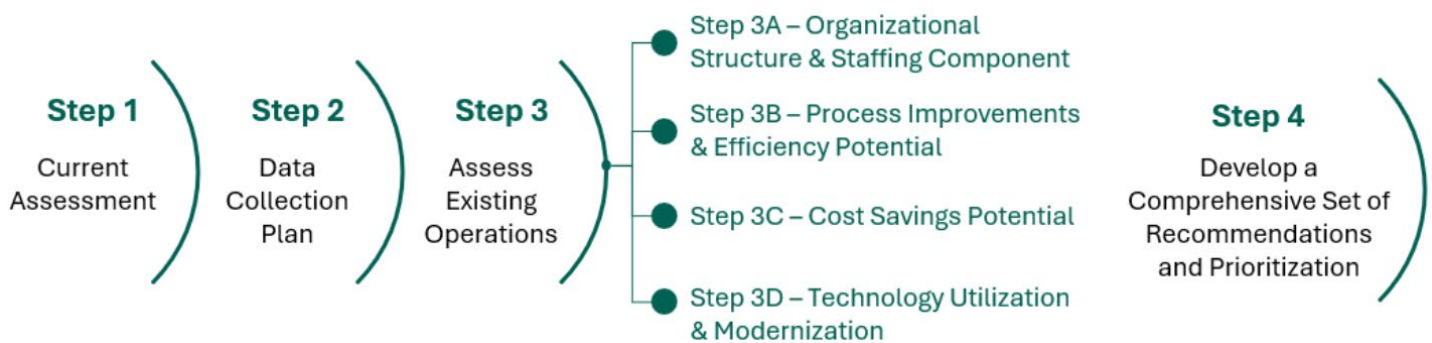


Figure 1 - Study Steps: Blackberg moves through four major steps in conducting the efficiency and business transformation study.

3.0 Methodology

Blackberg used the City Fitness Framework (CFF) (See Figure 2) to provide structure and context for the study. The primary focus of the overall study is the “Structure” element within the CFF; however, it is important to understand how other elements interact and effect the Structure (i.e. Talent, Culture, and Ongoing Operations). Specifically, one can study each element within the CFF in relative isolation, but the reality of any organization is that each element is interacting with all other elements as a complex adaptive system. Therefore, it is important to understand the major interactions.

In developing the Current State Analysis, Blackberg focused on the Structure element within the CFF, but we also assessed the City organization broadly with some focus on Talent, Culture, and Ongoing Operations (See Figure 2 red boxes). Our methodology covered 4 steps: Document Review, Survey, Structured Interviews, and Analysis.

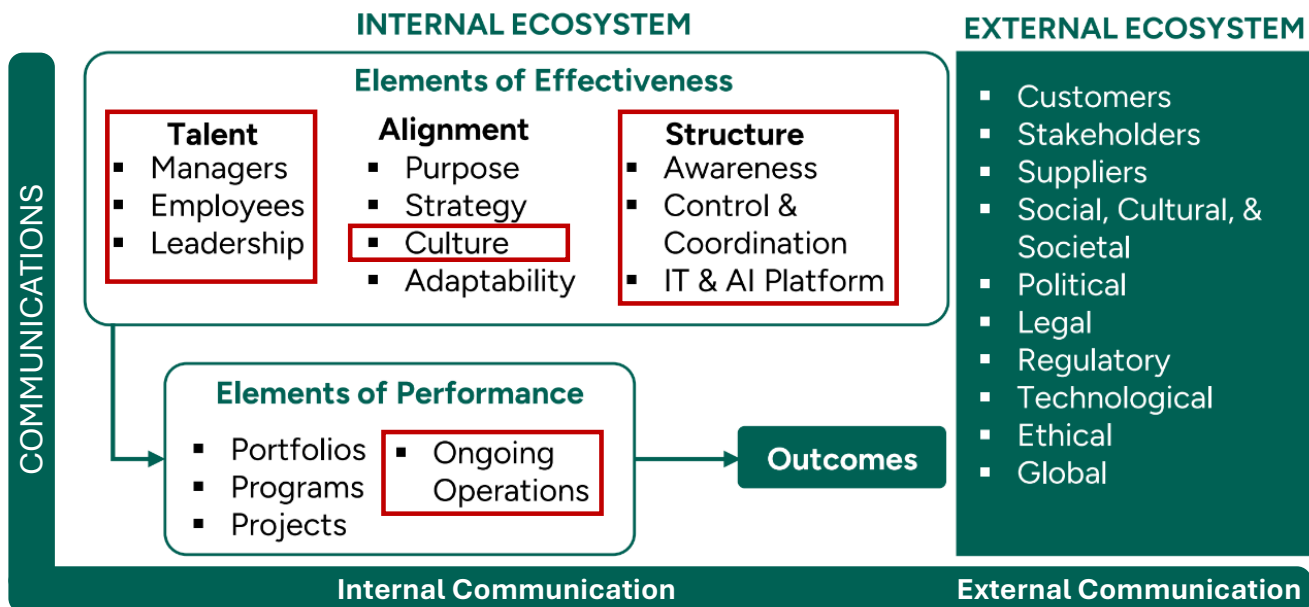


Figure 2 – Blackberg City Fitness Framework: In conducting efficiency and business transformation studies, Team Blackberg examines all elements that impact a City’s effectiveness and performance.

Step 1 – Document Review: Blackberg conducted an initial review of the following documents:

- 5-year capital improvement program
- Draft Budget 26-27
- 23/24 & 24/25 Fiscal Operating Budget
- 2025 Employee Survey Results
- COSH Contact List
- City-Wide Org Chart
- Employee Survey 2025
- Position Control
- St. Helena 2025 Resident Satisfaction Survey Staff Report- Provide an Updated Analysis of the City’s Revenues and Expenditures to Determine the Extent of the Structural Deficit.
- Town Survey and City Bond (2023)

Step 2 – Survey: Blackberg developed a survey that included a combination of Likert scale questions and open-ended questions. The survey included 4 sections which we show in the table below:

Section 1: Resident Focused Questions	These questions assess employee perceptions of resident satisfaction, issues, and challenges.
Section 2: Performance (Process Efficiency, Resources, Service Delivery)	These questions assess perceptions of operational effectiveness, resource availability, and alignment with resident-focused outcomes.
Section 3: Workplace Culture	These questions evaluate efficiency enablers in the culture, like innovation and leadership support for processes.

**Section 4: Open-Ended
Feedback (Broader Insights)**

These questions capture qualitative insights to inform gap analysis and recommendations, aligning with resident-focused goals and budget constraints.

The survey included a total of 23 questions and an introduction where respondents could identify the Department in which they work, years employed, and full-time versus part-time. Blackberg published the survey with Microsoft Forms in the Blackberg Microsoft 365 account. We published the survey as an anonymous response. City employees had approximately 3.5 weeks to respond to the survey. A total of 53 City employees responded to the survey.

Step 3 – Structured Interviews: Blackberg conducted “structured interviews” with City employees. The structured interview is a standardized set of 32 questions. All questions were open-ended question types. The structured interview included 8 major sections as shown in the table below:

- | | |
|---|---|
| 1) Organizational Structure and Staffing | 5) Technology Utilization |
| 2) Processes and Workflows: | 6) Employee Perceptions and Culture |
| 3) Efficiency and Performance: | 7) Resident/Customer Interaction and Service Delivery |
| 4) Cost Management and Resource Allocation: | 8) Forward-Looking Questions |

A member of the Blackberg team met with the interviewee on Microsoft Team. Each interview was a private, individual interview. The length of the interview varied by individual and typically ranged from 45-75 minutes. After the interviewee responded to the initial standard interview question, the interviewer had the option to move to the next question; ask clarifying questions; or probe responses for additional information. The Blackberg team interviewed a total of 36 City employees.

Step 4 – Analysis: Blackberg reviewed the results of the Survey and Structured Interviews to identify themes, patterns, and insights. This included the identification of patterns based on the Department in which the interviewee is assigned. We also considered information obtained from the Step 1-Documents Review.

4.0 Key Findings and Themes

For the current state analysis, Blackberg examined elements of talent, culture, structure, and ongoing operations (outlined in red in Figure 2). The focus of this study is structure; however, it is critical that we understand how other aspects of the organization are affecting structure. Further, in the future, we will examine public interactions with the City's structure. We limited the current state analysis to the "internal ecosystem", but we did ask City employees about their experience with residents. This section includes Key Findings, Survey, and Structured Interview findings and themes.

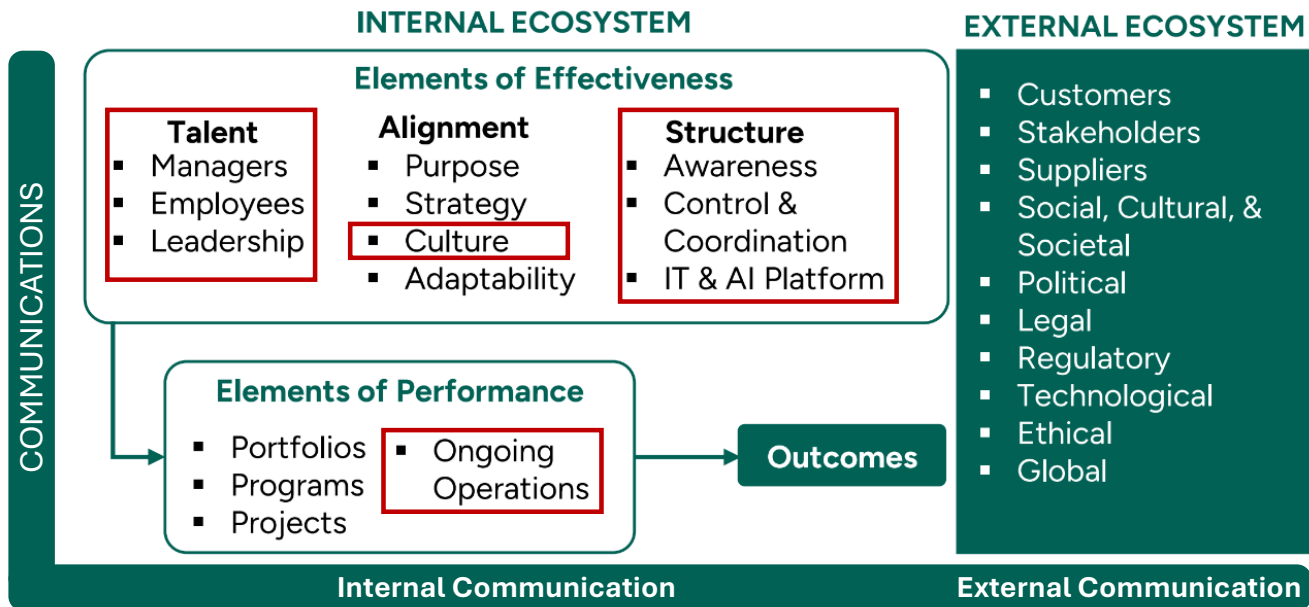


Figure 3 – Internal Ecosystem: Our findings centered on the Internal Ecosystem with a focus on Structure; however, in the future, we will examine elements of communication and the external ecosystem in further depth.

4.1. Key Findings

4.1.1. Awareness

Key Finding A – Situational Awareness: Based on the lack of business process maturity and management control systems (e.g. asset management), there is an overall lack of situational awareness within the City. It appears that the City attempted to fill these gaps with extensive budgeting documentation; however, this needs to be further evaluated for accuracy. We also saw situational awareness issues secondary to the lack of a strategic plan as a communication tool. Although outside the scope of internal structure, a strategic plan could also be used for external communication with residents.

4.1.2. Control & Coordination

Key Finding B – Organizational Maturity: We use the Capability Maturity Model Integration (CMMI) to define the process levels within the City. This model will also help the City in planning for future process improvements. Based on our structured interviews and surveys, the City primarily has a process maturity level of 1 out of 5. There are some indications of level 2 maturity; however, they seem mostly anchored to the adoption of IT systems that have prebuilt processes. They are not planned or documented. Our survey data shows: 26 respondents (57%) note "Moderately" challenging processes, and 20 (43%) encounter bottlenecks "Often," highest in Public Works (6/10) and Administrative Services (4/6). Only 7 (15%) report "Rarely." They also noted a significant impact of non-value added activities: "Sometimes" (18, 39%), "Often" (14, 30%), "Rarely" (10, 22%), "Minimal/No impact" (4, 9%). It is significant in Administrative Services (manual tasks) and minimal in Community Development. Blackberg will investigate processes in further depth in future months of the study.



Figure 4 – Capability Maturity Model Integration (CMMI): We use CMMI to assign a process maturity score to the City. CMMI has 5 levels of maturity with 5 being “most mature”.

Key Finding C – Policy and Process Governance: We found no indication that there is a governance model for policies, processes, and standard operating procedures. This includes the lack of a central repository for these documents and a lack of methodology for indexing. There are indications that this exists to a small degree within some City Divisions. Nevertheless, a significant portion of organizational knowledge remains undocumented, residing solely within the tacit expertise of individual City employees, posing risks to continuity and scalability. This is particularly troubling when coupled with the issue of high employee turnover within the City.

Key Finding D – Key Performance Indicators (KPI): There is some indication of use of KPIs from the survey data; however, this seems mostly linked to ad hoc KPIs created at weekly or monthly meetings for limited tasks or projects. We do not find evidence of KPIs crafted to track overall processes. This matches the organizational process maturity findings. We received input from 9 individuals that described KPI success as “completing lists of work, responding to all emails before the end of the day, or there are no complaints”. These may be loosely defined as KPIs that one would expect with immature processes (e.g. an employee has created a process that is undocumented and creates a KPI to support it—“no emails unanswered in my inbox”).

Key Finding E – Asset Management: Asset management appears inadequate. This is a preliminary finding that we plan to investigate in more detail. However, we are seeing substantial indications of asset management problems based on employee concerns of outdated equipment. This ties to the City’s issues related to water infrastructure updates and replacements. Secondly, the lack of asset management will have detrimental effects on budgeting. Secondary to this issue, we did not find evidence of the use of “sinking funds”.

4.1.3. IT and AI Platform

Key Finding F – Artificial Intelligence (AI): Although we heard from many individuals that they want AI solutions, we did not find evidence of purposeful goals or objectives to use AI or prepare for future AI use. The low maturity level of processes will make it much more challenging to adopt AI in the future.

Key Finding G – IT Services: We heard many positive responses and evidence of the implementation of IT Services. The purchase of these IT Services pair with purposeful efforts to automate tasks, improve tracking, digitize storage, and improve transparency. Our primary concerns in this area are potential integration issues and simply pushing bottlenecks further down the process chain—reducing the benefits of IT Services on total throughput time.

4.1.4. Culture

Key Finding H – Employee Perceptions: Many employees report an overall positive internal culture in terms of people. They see the culture as collaborative and supportive. There appears to be a positive view of leadership overall, but there is also a desire to see more communications and interactions with leadership. However, many also site low pay and high work volume as generating negativity in the culture with uncertainty about position stability and future advancement. This is exacerbated by negative external commentary (e.g. Nextdoor application) that leaves City employees feeling underappreciated and attacked.

Key Finding I – Innovation: Many employees report feeling comfortable providing recommendations for improvement to their supervisors and identified weekly meetings as venues where they can share their ideas. The survey found a moderate degree of “Culture Encouragement for Innovation”. Stronger in Community Development; weaker in Police. The value of innovation in the culture could be enhanced with additional training and improvements in overall awareness.

4.1.5. Talent

Key Finding J – Employee Training: City employees responded that they often receive effective training for IT systems from outside vendors or consultants. However, they also stressed that they would like more opportunities for training that help them to advance in their career or general management knowledge. We found that most City employees did not understand basic concepts of process development, process management, process improvement, quantitative measures (KPIs) of processes, and continuous quality improvement. This training will be necessary to advance the City’s organizational maturity.

Key Finding K – Employee Work Volume: We heard from many employees that there is understaffing. This appears to be particularly acute within Administrative Services. Likewise, we heard from multiple Departments that they experienced significant issues due to errors or delays in the Finance Division. However, there were also many indications that IT automation and AI could alleviate work volume that is creating the perception of understaffing. A major obstacle to realizing the benefits of IT automation and AI will be the initial cost and time commitment necessary purchase and properly implement the IT automation. We saw evidence in the Finance Division that already purchased IT tools are underutilized or not used at all because there is not enough time available to learn about them and implement them.

4.1.6. Ongoing Operations

Key Finding L – Measurement of Success: We discovered that many City employees define success as: “there are no complaints or problems”. This demonstrates that ongoing operations are highly reactionary. Further, employees struggled to think of other methods that they could use to measure success. They did identify benchmarks as something they wanted to explore and learn more about. Overall, there appears to be few, if any, measurements to establish the difference between unacceptable, acceptable, exceptional, and outstanding work output.

4.2. Survey

Blackberg developed a survey that included a combination of Likert scale questions and open-ended questions. The survey included a total of 23 questions and an introduction where respondents could identify the Department in which they work, years employed, and full-time versus part-time. Blackberg published the survey with Microsoft Forms in the Blackberg Microsoft 365 account. We published the survey as an anonymous response. City employees had approximately 3.5 weeks to respond to the survey. A total of 53 City employees responded to the survey. **Table 1 (page 12)** provides an overview of survey results for all Likert scale questions. It includes a “Total City” score that includes all responses. It also includes a breakdown of scores by Department. At the bottom of the table is an “Average Scores” that is the average of each column.

4.2.1. Largest Areas of Concern

Departments – Administrative Services, Public Works, and Police have the lowest average scores. Administrative Services is particularly concerning with an average score of 2.6. Administrative Services also has many responses that score below

2.5. Public Works has an average score of 3.3 with a 2.7 score in encountering bottlenecks and redundancies. Police Department has an average score of 3.3 and has two scores below 3.0 (i.e. bottlenecks and non-value-added activities).

Topic Area – “Bottlenecks and redundancies” is the lowest scoring area by topic (2.7 out of 5.0). This is followed by “maturity of processes” and “non-value-added” activities, both of which scored 3.1.

4.2.2. Tenure

This section examines responses to the survey based on employee tenure with the City.

The survey includes employees with the following ranges of tenure:

- 0 - 1 year: 9 respondents
- 1 - 3 years: 18 respondents
- 4 - 8 years: 11 respondents
- 9 - 12 years: 7 respondents
- Over 12 years: 8 respondents

Total: 53, all full-time except 4 part-time (in Community Services/Police).

Resident Satisfaction – (3.89 - 4.00): Peaks at 1-3 years (4.00), dips slightly over 12 (3.75). Discussion: Newer staff (0-3 years) may feel more resident-facing pressure or optimism, while veterans might see systemic issues (e.g., Admin’s “Very poor” from a 0-1 year respondent). This aligns with budget engagement goals (2025-27 agenda screenshot), suggesting training could sustain high satisfaction.

Tool Access – (3.22 - 4.00): Increases with tenure (0-1: 3.22, Over 12: 4.00). Discussion: Newer staff rate lower, possibly due to onboarding gaps—e.g., 0-1 year has 3 “Somewhat” vs. 4 “Fully” over 12. This correlates with challenges ($r \approx 0.40$), indicating resource scarcity impacts frustration.

Process Maturity – (2.89 - 3.14): Slightly higher for 9-12 years (3.14), lowest 0-1 (2.89). Discussion: Veterans may adapt to ad-hoc systems, while newer staff notice inefficiencies—e.g., Admin’s “Initial” (2.0) from a 1-3 year respondent.

Challenges/Bottlenecks – (2.29 - 3.00): Lowest at 9-12 (2.29), highest 0-1 (2.89/3.00). Discussion: Newer staff face more frustration (e.g., 4 “Moderately” in 0-1), possibly from unclear processes. Veterans (9-12) adapt better, but Public Works’ 3.17 avg across tenure suggests field-specific hurdles—water security delays (agenda goal) could be a factor.

Effectiveness/Workflows – (3.50 - 3.71): Stable (3.50-3.67), with 1-3 years highest (3.67). Discussion: Consistent delivery despite tools gaps, but lower in Admin (2.57) across all tenures. Correlates with satisfaction ($r \approx 0.55$), showing resident focus holds.

Culture Metrics – (3.63 - 3.91): Collaboration peaks at 4-8 (3.91), innovation at 1-3 (3.72). Discussion: Mid-tenure staff drive teamwork, but leadership support dips for 0-1 (3.44). Newer staff’s lower scores (e.g., 2 “Not supported” in Admin) suggest onboarding/culture gaps

Consistency – (3.72 - 3.91): Highest 4-8 (3.91), lowest 0-1 (3.78). Discussion: Experience stabilizes processes, but variability in Public Works (3.43 avg) across tenures hints at operational complexity—ties to 2023-25 staffing summary (TOC screenshot) needing better coordination.

Table 1: Overview of Responses to Likert Scale Questions within the Survey.

Survey Questions		Total City	Police	Fire*	Community Services	Community Development	City Clerk	Admin Services	Public Works
		Number of Respondents							
		53	8	1	7	5	2	7	23
1	How would you rate residents' overall satisfaction with your department's services, based on the feedback or interactions you've observed (e.g., complaints, surveys, or direct encounters)?	3.9	4.4	5.0	4.6	4.2	3.5	2.7	3.8
2	To what extent do current processes in your department (e.g., response times to service requests, permitting timelines, billing accuracy, public safety procedures) create challenges or frustration...	3.5	3.8	4.0	3.9	3.8	3.5	2.3	3.5
3	How would you rate the maturity of the processes in your Division?	3.0	3.0	4.0	2.9	4.0	1.5	2.1	3.1
4	How effective are the current processes in your department for delivering services to residents (e.g., permitting, utility billing, park maintenance, etc.)?	3.5	3.6	5.0	3.9	3.8	3.5	2.3	3.5
5	To what extent do you have access to the tools and resources (e.g., technology, staffing, training) needed to perform your job efficiently?	3.2	3.4	5.0	3.0	4.2	4.0	2.1	3.2
6	How would you rate the speed of completing key tasks in your department (e.g., processing requests, responding to resident inquiries, responding to other departments, etc.)?	3.4	3.6	5.0	3.7	3.8	4.0	2.3	3.3
7	How well do current workflows in your department support timely and high-quality service delivery to residents?	3.4	3.6	5.0	3.7	3.8	4.0	2.3	3.3
8	How often do you encounter bottlenecks or redundancies in your daily work processes (e.g., delays, repetitive tasks)?	2.8	2.8	3.0	3.4	3.2	2.5	2.4	2.7
9	To what extent do non-value-added activities (e.g., unnecessary steps, waiting times, or overproduction) impact your department's processes?	2.8	2.4	2.0	2.6	2.4	3.0	3.1	3.1
10	How consistent are your department's processes in terms of error rates or variation (e.g., inconsistent outcomes in service requests or task completion times)?	3.5	3.3	5.0	3.7	4.0	4.0	3.0	3.3
11	To what extent does the workplace culture encourage innovation and process improvements in your department?	3.5	3.0	4.0	4.0	4.0	4.0	3.6	3.3
12	How supported do you feel by leadership in addressing challenges like staffing shortages or workload peaks?	3.4	3.3	5.0	3.6	4.0	3.5	2.7	3.3
13	How would you rate the level of collaboration and knowledge-sharing across teams to enhance efficiency?	3.4	3.3	4.0	3.9	3.0	3.0	2.6	3.6
Average Scores:		3.3	3.3	4.3	3.6	3.7	3.4	2.6	3.3

*Fire-The response is not statistically valid since there was only 1 respondent.

4.2.3. Survey Details

This section includes tables that contain detailed responses to each Likert question. There is a total of 13 Likert style questions.

1. How would you rate residents' overall satisfaction with your department's services, based on the feedback or interactions you've observed (e.g., complaints, surveys, or direct encounters)?

Very poor	1	2%
Poor	0	0%
Average	18	34%
Good	18	34%
Excellent	16	30%
	53	100%

2. To what extent do current processes in your department (e.g., response times to service requests, permitting timelines, billing accuracy, public safety procedures) create challenges or frustration?

Not at all	5	9%
Slightly	22	42%
Moderately	20	38%
Very	4	8%
Extremely	2	4%
	53	100%

3. How would you rate the maturity of the processes in your Division?

Initial (ad-hoc and unpredictable)	4	8%
Managed (basic processes exist but are not documented)	15	28%
Defined (well-defined and documented)	18	34%
Quantitatively Managed (Key Performance Indicators exist and are tracked)	11	21%
Optimizing (Continuous Process Improvement of all processes)	5	9%
	53	100%

4. How effective are the current processes in your department for delivering services to residents (e.g., permitting, utility billing, park maintenance, etc.)?

Not effective	3	6%
Somewhat effective	5	9%
Moderately effective	13	25%
Very effective	28	53%
Extremely effective	4	8%
	53	100%

5. To what extent do you have access to the tools and resources (e.g., technology, staffing, training) needed to perform your job efficiently?

Not at all	4	8%
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Somewhat	15	28%
Moderately	9	17%
Mostly	16	30%
Fully	9	17%
	53	100%

6. How would you rate the speed of completing key tasks in your department (e.g., processing requests, responding to resident inquiries, responding to other departments, etc.)?

Very slow	2	4%
Somewhat slow	9	17%
Acceptable	16	30%
Fast	20	38%
Very fast	6	11%
	53	100%

7. How well do current workflows in your department support timely and high-quality service delivery to residents?

Not well	2	4%
Somewhat well	9	17%
Moderately well	16	30%
Very well	20	38%
Extremely well	6	11%
	53	100%

8. How often do you encounter bottlenecks or redundancies in your daily work processes (e.g., delays, repetitive tasks)?

Never	0	0%
Rarely	12	23%
Sometimes	21	40%
Often	19	36%
Always	1	2%
	53	100%

9. To what extent do non-value-added activities (e.g., unnecessary steps, waiting times, or overproduction) impact your department's processes?

Minimal/No Impact	4	8%
Rarely	15	28%
Sometimes	23	43%
Often	8	15%
Major Impact	3	6%
	53	100%

10. How consistent are your department's processes in terms of error rates or variation (e.g., inconsistent outcomes in service requests or task completion times)?

Very inconsistent	2	4%
Often inconsistent	9	17%

Somewhat consistent	14	26%
Often consistent	19	36%
Very consistent	9	17%
	53	100%

11. To what extent does the workplace culture encourage innovation and process improvements in your department?

Not at all	2	4%
To a small degree	9	17%
Some encouragement	8	15%
Lots of encouragement	29	55%
Extensive encouragement	5	9%
	53	100%

12. How supported do you feel by leadership in addressing challenges like staffing shortages or workload peaks?

Not supported	5	9%
Rarely Supported	5	9%
Sometimes Supported	17	32%
Often Supported	18	34%
Fully Supported	8	15%
	53	100%

13. How would you rate the level of collaboration and knowledge-sharing across teams to enhance efficiency?

Poor	5	9%
Little	6	11%
Sometimes	12	23%
Often	24	45%
Extensive	6	11%
	53	100%

4.2.4. Open-Ended Questions

- 1) From your interactions, what are the most common needs or expectations residents express when engaging with your department's services (e.g., faster response times, clearer communication)?**

Faster Response/Processing Times (Most common, ~38 responses, 72%): Residents demand quicker handling of requests, bills, permits, investigations, and services. Examples: "Faster response times" (multiple in Admin Services, Public Works, Community Development); "Quicker turn around with investigations" (Police ID 3).

Clearer/More Communication (~15 responses, 28%): Calls for better transparency, updates, and accessible info. Examples: "Clearer communication" (Admin ID 48, Community Services ID 25); "More communication (not necessarily clearer, just found in several places)" (Public Works ID 11).

More Resources/Staffing (~12 responses, 23%): Perceptions of understaffing leading to delays. Examples: "More staff needed" (Police ID 28, 45); "We do not have the personnel to add more" (Community Services ID 27); "Limited staff and the volume of projects" (Community Development ID 14).

- 2) What one change to your department's processes or tools could most improve the resident experience (e.g., easier online access, reduced wait times)?**

Digital/Online Access Improvements (Most common, ~25 responses, 47%): Easier online tools for billing, permits, records, and info. Examples: "Easier online access" (multiple in Admin Services IDs 13, 42, 49, 52); "More transparency with applications posted on the website" (Community Development ID 1); "Making the online experience easier" (PW ID 26).

Increased Staffing/Hiring (~15 responses, 28%): Adding personnel to reduce waits and burnout. Examples: "More staff" (Community Services IDs 10, 4; Police IDs 28, 45); "Hiring. Hiring. Hiring." (Police ID 16); "More personnel" (PW ID 46).

Process Streamlining/Reduced Waits (~12 responses, 23%): Simplifying workflows like permits or enforcement. Examples: "Streamlined permit application process" (PW ID 9); "Reducing the grace period between each phase of weed abatement" (Fire ID 51); "Reduced wait time" (Community Services ID 6).

Technology/Tools Upgrades (~10 responses, 19%): Better software, devices, or equipment. Examples: "Better ERP" (Admin ID 53); "Tablets to complete task" (PW ID 41); "Online reporting" (Police ID 3); "Newer vehicles" (Police ID 44).

Communication/Engagement Enhancements (~8 responses, 15%): Better info sharing via texts, tours, or directories. Examples: "Explore texting things like our newsletter" (City Clerk ID 22); "Tours... to school kids" (PW ID 21); "Better way of getting to our staff directory" (PW ID 26).

- 3) How well do you feel your daily work aligns with delivering high-quality, resident-centered services? Provide an example of a positive resident interaction and/or a barrier you've noticed.**

Positive Interactions/Feedback (Most common, ~35 responses, 66%): Compliments, gratitude, or successful resolutions. Examples: "Positive response to new Eye On Water application" (Admin ID 42); "Residents often comment on how at home they feel at the library" (Community Services ID 10); "They love us" (PW ID 33).

Barriers/Challenges (~20 responses, 38%): Obstacles like workload, delays, misdirection, or external perceptions. Examples: "Barrier is workload causes longer wait times" (Admin ID 42); "Hindered a lot by other departments" (Community Services ID 4); "Citizens get frustrated when their neighbors are not complying" (Fire ID 51).

High Alignment with Services (~25 responses, 47%): Strong sense of contributing to quality/resident focus. Examples: "Extremely well" (Community Services ID 10); "My daily work aligns well" (PW ID 40); "Very Well in public safety" (Police ID 18).

4) What could be done to improve resident satisfaction?

Increased Staffing/Hiring/Training (Most common, ~20 responses, 38%): Adding personnel or training to reduce delays/burnout. Examples: "Increase staff" (Community Development ID 14); "Hiring. Hiring" (Police ID 16); "More personnel" (PW ID 46); "Continue to have trained staff" (Community Services ID 10).

Improved Communication/Transparency (~15 responses, 28%): Better updates, collaboration, listening. Examples: "Increase communication to residents" (Admin ID 52); "Communication, transparency" (City Clerk ID 8); "Better communication on when tasks need to be done" (PW ID 37); "Transparency" (PW ID 36).

Process Efficiency/Faster Responses (~12 responses, 23%): Streamlining billing, permits, enforcement. Examples: "Make billing process more efficient" (Admin ID 17); "Faster response times from all departments" (Community Development ID 7); "Give people a shorter grace period" (Fire ID 51); "Finding a way to respond to matters faster" (PW ID 11).

Digital/Website Improvements (~8 responses, 15%): Better online tools, updates. Examples: "Better web site" (PW ID 33); "A more quickly updated website" (Community Services ID 25); "Having a easier website platform" (Community Development ID 20).

Resource Allocation/Equipment (~10 responses, 19%): Better tools, funding, facilities. Examples: "Providing our department with more tools/items" (Police ID 44); "Having better equipment and vehicles" (Police ID 45); "Better use of funds" (Admin ID 53).

5) What specific barriers, if any, prevent you from performing your job efficiently? (e.g., inadequate tools or equipment, outdated technology, unclear processes)?

Outdated Technology/Software (Most common, ~20 responses, 38%): Old systems, lack of integration, or inadequate tools. Examples: "Outdated technology, no maps for underground utilities on a computer base GIS system" (PW ID 40); "Outdated tech" (Police ID 3); "Limited software (tools)" (Admin ID 52).

Unclear/Outdated Processes/Documentation (~15 responses, 28%): Ambiguous workflows, lack of SOPs, or manual methods. Examples: "Unclear processes" (Admin IDs 13, 49); "Unclear processes, including outdated documentation" (Admin ID 48); "We do not have written SOPs" (PW ID 11).

Staffing Shortages/Workload (~12 responses, 23%): Understaffing leading to backlogs or delays. Examples: "Staffing shortages created a backlog" (Admin ID 42); "Not having enough staff" (Community Services ID 10); "Limited staffing during high-demand periods" (PW ID 32).

Training/Access to Knowledge (~8 responses, 15%): Lack of training or quick direction. Examples: "Lack of access to training" (Admin ID 48); "Training, I believe more in house training would be beneficial" (PW ID 26); "Inadequate/dated tools... and need for training" (Police ID 44).

Equipment/Facilities Issues (~10 responses, 19%): Inadequate gear, buildings, or resources. Examples: "Cars are old and need to be replaced... building is not a pd" (Police ID 2); "Breakdowns of critical equipment" (PW ID 32); "Cluttered work area" (Community Services ID 47).

6) What barriers, if any, exist in the culture that hinder operational efficiency or resident service?

Lack of Communication/Collaboration (Most common, ~20 responses, 38%): Interdepartmental silos, poor info sharing. Examples: "Interdepartmental communication" (Admin ID 13); "Staff lacks internal communication" (Community Development ID 14); "Communication within and with other departments" (Community Development ID 19); "Informal communication is the best way... but not all staff are on Teams" (PW ID 11).

Staffing/Workload/Shortages (~12 responses, 23%): Overload, thin staffing affecting support. Examples: "Workload sometimes restricts availability" (Admin ID 42); "Being short staffed really hurts us" (Community Services ID 27); "Lack of personnel" (Police ID 28); "Not enough staff, constant change in plans" (PW ID 46).

Resistance to Change/Innovation (~8 responses, 15%): Pushback on new ideas, perceived as extra work. Examples: "Opportunities and reception seem lacking... overwhelmed with 'their job'" (Admin ID 48); "Non willingness to adopt more efficient ways" (Admin ID 53); "Residents seem resistant to change" (City Clerk ID 8); "Slow or no change to redundant steps" (Police ID 44).

7) What is one process or tool in your department that works well and should be maintained or expanded?

Software/Tools/Technology (Most common, ~20 responses, 38%): Specific apps or systems like Excel, Grapevine, eTrakit. Examples: "Excel" (Admin ID 13); "Grapevine" (PW IDs 11, 29, 30); "e Trakit software" (Community Development ID 20); "Flock Camera system" (Police ID 18).

Communication/Meetings/Collaboration (~12 responses, 23%): Open dialogue, huddles, outreach. Examples: "Open collaboration" (Admin ID 17); "Weekly department meetings" (Community Development ID 1); "Communication" (PW ID 26); "Community outreach" (Police IDs 44, 45).

Maintenance/Preventive Processes (~10 responses, 19%): Rounds, inspections, equipment upkeep. Examples: "Monthly preventive maintenance program" (PW ID 32); "Sewer rounds" (PW ID 40); "Regular site inspections and daily maintenance rounds" (PW ID 38); "Staying on top of vehicle replacement" (PW ID 43).

Training/Cross-Training (~5 responses, 9%): Skill-building and knowledge sharing. Examples: "Cross-training" (Admin ID 48); "Officer Trainee Position" (Police ID 16); "Communicating with each other... listening to each other goals" (Community Services ID 27).

Staffing/Teamwork/Attitude (~8 responses, 15%): Positive team dynamics, can-do spirit. Examples: "Teamwork" (PW ID 36); "Appropriate attitude within workers" (PW ID 46); "Internal communication and can-do attitude" (PW ID 5); "It's people" (Police ID 28).

Department	Top Themes (Frequency)	Patterns/Insights
Administrative Services (7)	Software/Tools (4), Training (1), Collaboration (1)	Digital tools like Excel, Stampi, MS 365 (e.g., "Online self-serve for employees" ID 52); cross-training (ID 48). All full-time, mixed tenure.
City Clerk (2)	Software/Tools (1), Communication (1)	Document management (Laserfiche ID 8) and newsletters (ID 22). Both 1-3 years full-time.
Community Development (5)	Communication (2), Software/Tools (1), Maintenance (1)	Meetings and counter services (e.g., "Front counter open" ID 19); routing/eTrakit (IDs 14, 20). All full-time, varied tenure.
Community Services (7)	Software/Tools (3), Communication (2), Training (1)	Registration systems (CivicRec ID 25), meetings (ID 6), open comms (ID 4). Mix full/part-time.
Fire (1)	Software/Tools (1)	ImageTrend (ID 51). 9-12 years full-time.

Department	Top Themes (Frequency)	Patterns/Insights
Police (8)	Software/Tools (3), Training (1), Communication (2), Teamwork (1)	Systems like RIMS, Flock (IDs 3, 18); outreach/trainee programs (IDs 16, 44). Mostly over 4 years, mix full/part-time.
Public Works (23)	Maintenance (8), Communication (4), Software/Tools (3), Teamwork (2)	Grapevine, rounds, huddles (e.g., "Daily huddles" ID 31); street sweeping/mowers (IDs 39, 34). Mostly 1-3 years full-time.

8) What is one change (e.g., to processes, technology, equipment, tools, etc.) that would most improve your ability to serve residents effectively?

Technology/Software Upgrades (Most common, ~20 responses, 38%): New systems, apps, or digital tools. Examples: "New ERP" (Admin ID 53); "Business Licenses - online system" (Admin ID 52); "On-line permitting" (Community Development ID 7); "GIS for all mains and electrical" (PW ID 40).

Equipment/Tools Improvements (~12 responses, 23%): Better vehicles, gear, or hardware. Examples: "New vehicles" (Police ID 2); "Better equipped and more capable vac truck" (PW ID 35); "Utility bed on service trucks and tablets" (PW ID 41); "Desktop public access computers" (Community Services ID 6).

Increased Staffing/Personnel (~8 responses, 15%): Adding staff to handle workload. Examples: "More staff" (PW ID 34); "More Employment in the department" (PW ID 50); "Equipment and staffing" (Police ID 28).

Process Automation/Streamlining (~10 responses, 19%): Reducing manual work, faster payments. Examples: "Need for more automation" (Admin ID 42); "Full water plant automation" (PW ID 12); "An online CIP tool that live-updates" (PW ID 9); "Pay bills on time and process purchase orders faster" (PW ID 29).

Training/Support (~5 responses, 9%): More training or resources. Examples: "I don't know if it would be more time or training; maybe support?" (Admin ID 48); "More inhouse Training" (PW ID 26); "Better tools and training" (Police ID 44).

Communication/Integration (~5 responses, 9%): Better comms or system integration. Examples: "Use of teams" (Community Development ID 1); "More integration between CivicRec and CivicPlus" (Community Services ID 25); "Better communication on when tasks need to be completed" (PW ID 37).

9) How do you perceive the City's alignment with its mission to provide high-quality, resident-focused services? What could be improved?

Positive/Mixed Alignment (Most common, ~30 responses, 57%): Good intent/effort, but challenges noted. Examples: "It is a great mission" (Admin ID 42); "The City is committed... but sometimes siloed" (PW ID 9); "I think the city's alignment is on point" (Fire ID 51); "Well, there is an evident push to improve" (PW ID 5).

Improvements in Communication/Transparency (~15 responses, 28%): Better updates, trust, resident engagement. Examples: "Communication, ability to address customer concerns faster" (Admin ID 13); "More communication would help" (PW ID 39); "Clearer communication with residents" (PW ID 38); "Regain trust back with them" (City Clerk ID 8).

Staffing/Resources/Funding Needs (~12 responses, 23%): More staff, better allocation to meet demands. Examples: "Staffing levels do not support the demand" (Admin ID 42); "More staff" (PW ID 23); "Additional public facing staff" (Community Services ID 25); "More funding to the pd" (Police ID 2).

Technology/Website Enhancements (~8 responses, 15%): Digital improvements for access. Examples: "More online services offered" (Admin ID 17); "Improvements could be made to the website" (Admin ID 52); "The website could be easier to navigate" (Admin ID 49).

Trust/Perception/Expectation Management (~10 responses, 19%): Building trust, addressing "us vs. them," realistic timelines. Examples: "Find a way to regain trust" (City Clerk ID 8); "Many people... don't trust the city leaders" (Police ID 24); "Do not over promise" (PW ID 43); "Unrealistic expectations" (implied in City Clerk ID 22).

10) Any additional comments on performance, efficiency, or improving resident interactions?

Staffing/Workload Concerns (~8 responses, 15%): Shortages/backlogs affecting efficiency. Examples: "Staffing shortages... impacts performance and efficiency" (Admin ID 42); "More staff is needed" (Admin ID 53); "We need more staff/onsite" (PW ID 23); "Our department gets pulled away often" (PW ID 46).

Communication/Resident Engagement (~5 responses, 9%): Better updates, involvement, trust. Examples: "Better communication with residents and following up" (PW ID 39); "Stronger direct communication with residents" (PW ID 38); "The City should have open houses" (PW ID 26); "Keeping residents involved with processes" (City Clerk ID 8).

Positive/Improving Trends (~5 responses, 9%): Noting progress or positives. Examples: "Things are going a lot smoother than before" (PW ID 34); "We have begun making improvements" (Admin ID 52); "Continue to allow displays... receive positive feedback" (Community Services ID 10).

Technology/Process Suggestions (~3 responses, 6%): Specific fixes for efficiency. Examples: "If we created some sort of simple contact directory" (Community Services ID 27); "Pushing for less face-to-face... will help improve efficiency" (PW ID 11); "Full plant automation" (PW ID 12).

Cultural/Attitude Issues (~3 responses, 6%): Vesting, burnout, disparagement. Examples: "My co-workers are more vested... burn-out is possible" (Admin ID 48); "Openly speaking disparagingly about residents should not be acceptable" (PW ID 5); "Not from here" (Fire ID 51, possibly implying outsider perspective).

4.3. Structured Interviews

4.3.1. Organizational Structure and Staffing

Strengths	Description
Collaborative Teams & Empowerment	Many departments report strong internal collaboration and empowerment for decision-making. For example, in Fire, full-time officers collaborate on changes effectively. Public Works emphasizes cross-training and flexibility, allowing staff to shift roles during surges. Library highlights bi-monthly meetings where all staff contribute to decisions, fostering a supportive culture. Overall, 70% of respondents rate internal decision-making as efficient when kept within the department.
Dedicated & Skilled Staff	Respondents frequently note committed, multi-skilled employees who "make it work" despite constraints. In HR, staff handle diverse tasks like onboarding and grants. Community Development praises knowledgeable permit techs and planners who manage high workloads. Public Works field staff value hands-on expertise in maintenance, with low error rates in daily operations. This resilience aligns with city goals for service delivery.
Clear Reporting Lines in Small Teams	In smaller divisions like Library and Building, simple structures support quick decisions—e.g., direct reporting to directors enables efficient issue resolution. Fire and Police also benefit from shift-based hierarchies that promote accountability.

Weaknesses	Description
Understaffing & Frozen Positions	A dominant theme (mentioned in 80% of interviews): staffing is inadequate, with frozen positions causing overload. Administrative Services cites perpetual training mode and HR gaps. Library notes two frozen FT roles limiting hours and programs. Public Works reports understaffing in wastewater and parks, leading to deferred maintenance. Ratings average 3-6/10, with gaps in administrative support and specialized skills (e.g., engineering, code enforcement).
High Turnover & Skill Gaps	Turnover is common due to better opportunities elsewhere (e.g., Fire's part-timers leave for FT jobs; Finance's new techs need training). Gaps include lack of expertise in unique areas like LOA or historic resources. Community Development notes overwhelmed staff pushing code enforcement aside. This leads to overtime and burnout, impacting morale.
Inconsistent Cross-Departmental Support	While internal collaboration is strong, cross-dept efforts are often ineffective due to delays (e.g., Finance bottlenecks in AP for Public Works. The Library and Parks cite geographic separation reducing effectiveness. 60% report collaborations as "OK" or "willing but limited," with redundancies in approvals.

Opportunities	Description
Unfreezing Positions & Cross-Training	Multiple respondents suggest unfreezing roles to reduce overload (e.g., Library's FT positions for extended hours; Public Works' admin support). Enhanced cross-training could fill skill gaps, as seen in successful examples in Parks. Partnerships with neighboring cities (e.g., Napa for HR) could share resources without compromising quality.
Empowerment & SOP Development	Strengthen decision-making by formalizing delegation and SOPs. This could align with city goals for efficiency, reducing bottlenecks in escalations (e.g., from departments to Council). Training programs (e.g., certifications for advancement would boost retention and skills.
Technology & Process Automation	Integrate tools like eTRAKiT to automate permitting and reduce manual work. Regional collaborations for software could cut costs. Address turnover by offering incentive pay for skills.

Threats	Description
Continued Turnover & Burnout	High turnover risks institutional knowledge loss (e.g., Fire's part-time staff; Administrative Services' new hires). Long commutes and low pay compared to other cities exacerbate this, potentially leading to service disruptions.
Regulatory & Demand Pressures	State regulations (e.g., housing laws; water neutrality) slow processes and increase demands. Aging population (Fire, Public Works) boosts medical calls and maintenance needs, straining lean teams without budget increases.
External Dependencies & Delays	Reliance on consultants (Community Development, Public Works) raises costs and oversight needs. Cross-dept delays (e.g., Finance AP issues) threaten project timelines. Economic factors like tight labor markets limit hiring quality.

4.3.2. Processes and Workflows

Strengths	Description
Adaptive & Collaborative Workflows	Many departments demonstrate flexibility in workflows, with staff cross-training to handle surges effectively. For example, Public Works uses daily rounds and look-ahead lists to manage maintenance, while Fire employs ICS for prioritizing calls. Library efficiently processes shipments via LEAP, with part-time staff sharing duties. Overall, 60% note strong internal collaboration, aligning with city goals for service delivery.
Recent Digital Improvements	Several areas have adopted tools that enhance efficiency, such as Stampli for AP routing, Who-Fi for tracking, and electronic scheduling in Fire. Community Development is transitioning to eTRAKiT for permitting, reducing paper reliance. These support timely completion, with low error rates in routine tasks.
Customer-Focused Initiation	Workflows often start with resident or stakeholder input, ensuring relevance. E.g., permits in Community Development and grants in Finance are initiated by public needs, fostering positive outcomes.

Weaknesses	Description
Manual Processes & Redundancies	Dominant theme (75% of interviews): heavy reliance on manual entry, spreadsheets, and paper, leading to errors and inefficiencies. HR cites Excel-Springbrook duplication; Finance notes multiple AP approvals/queues; Public Works highlights procurement delays. Library has overlaps in tasks due to understaffing.
Bottlenecks from Delays & Dependencies	Cross-dept dependencies cause lags (70% mention), e.g., Finance bottlenecks for Public Works and Fire; vendor delays in Library; regulatory reviews in Community Development. Seasonal peaks (e.g., storms in Public Works, summer in Library) exacerbate overload without adequate support.
Lack of Efficiency Metrics	Few formal measurements (80% report none or informal); deadline-oriented without tracking time/errors. E.g., no KPIs in Library, experience-based in Fire/Public Works; Community Development uses dates but lacks comprehensive tools. This hinders alignment with city goals.

Opportunities	Description
Automation & Integration	Widespread suggestions (85%) for automating manual tasks: payroll/reconciliations, permitting, meter reading, agenda prep. Integrate systems like Springbrook/Neogov or regional software. AI for policy/short-term rentals.
SOP Development & Training	Formalize SOPs to reduce redundancies; enhance training/cross-training. Unfreeze positions to alleviate overload, improving morale and capacity.
Partnerships & Outsourcing	Share resources regionally (e.g., HR with Napa; code enforcement; outsource non-core like large tree work or consultants for peaks. Align with city goals for cost savings without quality loss.

Threats	Description
Staffing Shortages & Turnover	Understaffing (mentioned in 75%) risks burnout/overtime; turnover from low pay/commutes could lose institutional knowledge, disrupting workflows.

Threats	Description
Regulatory & External Demands	State regulations (e.g., housing laws; water neutrality) and resident demands (e.g., high service expectations in Library/Public Works) slow processes, increasing errors/delays. Aging population boosts calls (Fire).
Technology & Resource Constraints	Outdated tools (e.g., wifi outages; fragmented systems) and budget limits threaten efficiency. Vendor delays (Library) and procurement issues amplify risks.

4.3.3. Efficiency and Performance

Strengths	Description
Recent Technological Improvements	Many departments have implemented tools to boost efficiency, such as Stampli for AP, Who-Fi for tracking, RFID for checkouts, and electronic timesheets. These align with city goals for service delivery, reducing manual work and errors in 60% of responses.
Effective Peak Management Strategies	Staff use prioritization, cross-training, and calendars to handle surges. Fire's ICS and Library's scheduling knowledge maintain productivity, with 80% reporting successful adaptation despite constraints.
Resident-Focused Metrics	Success often measured by feedback and outcomes like attendance or compliance, supporting city goals for customer service and safety.

Weaknesses	Description
Lack of Formal KPIs and Alignment	Dominant theme (70% of interviews): no structured KPIs or guidance; deadline-driven without tracking. Alignment with city goals is vague or absent, hindering strategic focus.
Over-reliance on Overtime and Reactive Approaches	Peaks lead to burnout and overtime; 75% cite understaffing exacerbating this. Error rates or efficiency not measured formally.
Limited Resources for Training/Innovation	Gaps in skills/training reduce efficiency; external factors like regulations overload lean teams.

Opportunities	Description
Expand KPI Development and Alignment	Formalize KPIs tied to city goals, e.g., using dashboards for tracking. Leverage tools like eTRAKiT or Grapevine for metrics, improving in 70% of areas lacking them.
Automation and Process Streamlining	Automate manual tasks like reconciliations, permitting, and meter reading; adopt AI for policy/short-term rentals. Partnerships for training/certifications to boost retention.
Regional Partnerships and Outsourcing	Share resources with neighboring cities; outsource non-core like code enforcement or large tree work, reducing costs while maintaining quality.

Threats	Description
Regulatory and Resident Pressures	State laws (housing, water neutrality) and demands slow processes; aging population increases calls, risking overload in 50% of responses.

Threats	Description
Staffing Shortages and Turnover	Understaffing/burnout from peaks; low pay/commutes drive turnover, threatening knowledge loss and service disruptions (75% mention).
Technology and Resource Constraints	Outdated systems/delays; budget limits hinder training/automation, amplifying inefficiencies. Vendor/publisher delays add risks.

4.3.4. Questions on Cost Management and Resource Allocation

Strengths	Description
Lean Budget Management & In-House Efficiency	Departments operate efficiently within tight budgets by shifting to in-house work, reducing external costs. For example, Public Works saved by handling services internally instead of contracting. Fire keeps OT low with part-timers, aligning with city financial stability goals. Administrative Services maintain separate dept budgets with pre-approvals, minimizing overruns.
Effective Partnerships & Resource Sharing	Existing collaborations reduce costs, such as Community Development using Interwest for fire plans and eTRAKiT integration. The Library leverages volunteers and foundations for materials/events, saving city funds. HR explores regional training with similar software users.
Basic but Functional Tracking	Expenditures are tracked via spreadsheets, POs, and monthly reports with finance, supporting accountability. E.g., Public Works uses automated spreadsheets; City Clerk forwards coded invoices to Stampli.

Weaknesses	Description
Limited Budget Visibility & Involvement	Many respondents (60%) have no direct role in budgeting, leading to gaps in awareness and optimization. E.g., Permit Tech and Utility Billing defer to directors; Library staff note city doesn't cover much due to foundation reliance.
Underutilized Resources & Training Gaps	Training and tools are frequently underused due to time/budget constraints (70% mention). E.g., Springbrook not fully leveraged; Laserfiche for records; training stipends/certifications limited. Overutilized staff leads to burnout.
Costly Maintenance & Manual Processes	Building/maintenance drains resources (Library's A/C/roof); advertising/newspaper notices seen as wasteful. Manual tracking creates workarounds.

Opportunities	Description
Outsourcing & Partnerships for Non-Core Tasks	Widespread suggestions (50%) for outsourcing to cut costs: payroll, weed abatement with goats/County, low-income discounts via partnerships. Regional collaborations (with Napa for HR; with volunteers). Aligns with city goals for efficiency without quality loss.
Enhanced Resource Utilization & Training	Maximize underused tools like Springbrook/Laserfiche and increase training budgets. Group trainings with similar cities; in-house expansion (fences/trees) to reduce contracting.

Opportunities	Description
Technology & Process Automation	Integrate systems for better tracking; bulk orders/digital shifts (for notices) to save on ads/maintenance. Foundations/consortia (Library) for more funding/sharing.

Threats	Description
High Workloads & Staff Overload	Overutilized personnel risks burnout/turnover, amplified by peaks and no backups. Low pay compared to other cities threatens retention.
Regulatory & External Demands	State regulations/resident expectations increase costs; unpermitted activity or complaints strain lean teams. Aging infrastructure (Library, Public Works) leads to unexpected expenses.
Budget Constraints & Limited Visibility	Tight budgets limit training/tech investments; lack of real-time tracking software risks errors/delays. Economic factors like revenue dependency add uncertainty.

4.3.5. Questions on Technology Utilization

Strengths	Description
Effective Core Tools in Specific Departments	Several systems received high praise for reliability and utility. For example: - LEAP/Polaris (library ILS): Described as effective, user-friendly, and efficient for cataloging and circulation (mentioned positively in 3 library interviews). - Image Trend (fire department): Highly effective for medical reporting and building inspections. - WhoFi (library): "Very happy" with it for tracking and reservations. - Beacon (utility billing): "Great" for meter reading dashboards. - eTRAKiT/Community Development (building/planning): "Working really well" with good integration and support, especially after recent implementation.
Vendor Support and Quick Fixes	In cases like eTRAKiT (Client First "fantastic" with weekly meetings), Image Trend, and Starlink, respondents noted sufficient vendor-provided training and support, enabling quick adoption.
Positive Impact on Efficiency in Niche Areas	Tools like RFID (library), Starlink (fire connectivity), and hotspots (backup during outages) were highlighted as improving daily operations without major issues.
Basic Tools Widely Used Successfully	Microsoft Suite, Excel, Word, and Adobe were consistently mentioned as reliable for everyday tasks across departments (e.g., reports, newsletters), with no major complaints.

Tool/System	Departments Praising It	Key Strength
LEAP/Polaris	Library (multiple)	User-friendly, effective for cloud-based cataloging
Image Trend	Fire	Supports reporting and inspections efficiently
eTRAKiT	Building/Planning	Good integration, fantastic vendor support
Starlink	Fire	Reliable backup for poor connectivity

Weaknesses	Description
Low Satisfaction with Key Enterprise Systems	Springbrook (finance/payroll) rated low (e.g., 5/10 or 7/10) due to manual entry, error risks, and lack of templates/integration (mentioned in 6 interviews). NEOgov (HR) rated 4/10 for being not

	user-friendly and constantly changing. iCompass (agendas/reports) called "not user friendly" multiple times.
Integration and Manual Process Issues	Frequent mentions of gaps like no integration between Springbrook and NEOgov/Stampli, leading to redundancies (e.g., manual AP routing, Excel spreadsheets duplicating work). Public computers/printers/scanners outdated, not supporting modern needs (e.g., phone barcodes).
Connectivity and Hardware Problems	Poor Comcast (outages 2x/week in fire), slow computers, Duo login causing lockouts, and complicated tools like "neat bar" (unused due to complexity).
Insufficient Training and Support	Lack of ongoing training (e.g., none for updates, outdated manuals, time constraints), with respondents often self-teaching or using ChatGPT. This was a pattern in 8 interviews, leading to underutilization (e.g., Springbrook not used to full capacity).
Fragmentation and Over-Reliance on Cloud	20+ cloud services creating inefficiencies, mentioned in public works and admin.

Opportunities	Description
External or potential positive developments, drawn from recommendations for new tools, modernization, and partnerships (suggested in ~12 interviews).	
Adopt Emerging Tools and Automation	Widespread calls for AI/ChatGPT (for efficiency in admin/public works), EyeOnWater (utility billing "life changing" for customer self-service), iPads/tablets for field work (building/fire), and digital signatures/mobile apps to reduce manual processes.
Improve Integration and Regional Solutions	Opportunities to integrate systems (e.g., Springbrook with NEOgov) or adopt regional/shared software (e.g., with Napa/Callistoga for HR/finance) to reduce costs and improve efficiency. Partnerships with vendors for better prioritization of small cities.
Enhance Training Programs	Invest in structured, ongoing training (e.g., vendor-led, group sessions with other jurisdictions) and updated procedures to maximize existing tools like SharePoint or PowerBI.
Modernize Hardware and Connectivity	Upgrade outdated printers/computers/scanners, add hotspots/Starlink backups, and implement fail-fast approaches for tools like conference tech.
Leverage Consortia and Partnerships	Library consortia (e.g., LinkPlus) already help; expand to shared resources for training or outsourcing non-core tasks without quality loss.

Recommended Tool/Improvement	Departments Suggesting	Potential Benefit
AI/ChatGPT	Public Works, Admin	Automate admin tasks, research
EyeOnWater	Utility Billing, Finance	Customer self-service, reduce inquiries
iPad/Field Devices	Building, Fire	On-site inspections/reports
Regional Integration	HR, Finance	Shared support, cost savings

Threats	Description
External risks that could worsen technology issues, based on mentions of vulnerabilities, dependencies, and changing environments.	

Cybersecurity and Outages	Past cyber attacks (e.g., on-prem server hack) and frequent outages (Comcast, tech failures) threaten operations, especially in critical areas like fire or utilities. Loss of data (e.g., building department's paper loss) highlights vulnerability.
Vendor and System Dependencies	Small city status leads to deprioritization by vendors/publishers (library delays), and reliance on changing portals (NEOgov) creates learning curves and inefficiencies.
Staff Overload and Turnover	High workload prevents training/adoption of new tools, exacerbated by staffing gaps; morale issues from outdated tech could lead to turnover.
Regulatory and External Changes	Evolving regulations (e.g., water/wastewater) require tech updates; resident demands (e.g., via Nextdoor) strain resources if tech doesn't support quick responses.
Budget Constraints	Limited funds for upgrades/training, with threats like frozen positions or over-reliance on outsourcing (e.g., IT to new vendor) potentially increasing costs or reducing control.

4.3.6. Employee Perceptions and Culture

Strengths	Description
These are internal positive aspects, such as effective collaboration and intrinsic motivations, highlighted in ~18 interviews (e.g., fire, library, public works, building).	
Strong Departmental Collaboration and Teamwork	Described as excellent with open idea-sharing; staff help each other, and weekly meetings foster consistency (e.g., "We all get along really well").
Motivation from Community Service and Positive Feedback	Driven by providing value to residents, literacy support, and visible accomplishments; positive interactions boost morale (e.g., "We like to make people happy").
Supportive Current Leadership	Features open-door policies, quick decisions, and encouragement of innovation; improved from past top-down styles (e.g., "Leadership is very supportive").
Inclusive and Flexible Culture	Allows flexibility for personal needs and inclusive task delegation; promotes a "it's OK to make mistakes" environment (e.g., "Everyone has a say").

Theme	Departments Praising It	Key Strength
Collaboration and Teamwork	Fire, Library, Public Works	Open idea-sharing and mutual support
Community Service Motivation	Library, Public Works, Fire	Positive resident interactions
Leadership Support	Fire, Admin, Public Works	Open-door policies and encouragement
Inclusive Flexibility	Public Works, Library, Building	Flexibility and mistake tolerance

Weaknesses	Description
Internal negative aspects, with overload and communication issues dominant in ~20 interviews (cross-departmental, especially admin, finance, HR).	
Overwhelm from High Workload and Staffing Shortages	Constant overload leads to burnout; staff feel "spread thin" (e.g., "They are just overwhelmed").
Poor Cross-Departmental	Weak inter-department links result in judging or escalated issues (e.g., "Communication with other departments...not so much").

Communication and Collaboration	
Feeling Undervalued or Lack of Recognition	Staff feel undervalued relative to other departments; lack of positive reinforcement (e.g., "Feels like obtaining information from leadership is hard").
Past Leadership Issues and Inconsistent Support	Previous aggressive styles caused turnover; inconsistent follow-through persists (e.g., "Past leadership was more aggressive").

Opportunities	Description
External or potential positive developments, drawn from suggestions for training, engagement, and building on strengths (suggested in ~15 interviews).	
Enhance Training and Professional Development	Invest in department-specific training, certifications, and group sessions with other cities (e.g., "Opportunities to get together are helpful").
Improve Employee Engagement Through Events and Recognition	Organize picnics, thank-yous, and citywide committees to foster fun and collaboration (e.g., "Allowing them the opportunity to be heard").
Strengthen Communication and Cross-Training	Implement regular inter-department meetings and leverage positive feedback for morale (e.g., "Monthly meetings...communication outside").
Leverage Partnerships for Shared Resources	Expand regional collaborations for training/support, such as consortia like LinkPlus (e.g., "Partnerships with other city clerks").

Recommended Improvement	Departments Suggesting	Potential Benefit
Training and Development	Library, Public Works, Admin	Certifications and group sessions
Engagement Events	Admin, Library, Public Works	Picnics and recognition programs
Communication Enhancements	Public Works, Finance, Library	Regular meetings and cross-training
Regional Partnerships	Admin, Fire, Library	Shared resources and support

Threats	Description
External risks that could worsen culture issues, based on mentions of vulnerabilities, dependencies, and changing environments (noted in ~13 interviews).	
Turnover Due to Pay, Commutes, and Limited Growth	Low pay compared to other cities and long commutes drive staff to seek better opportunities (e.g., "Pay and sometimes the long commute can impact morale").
External Resident Complaints and Demands	Negativity on platforms like Nextdoor and high expectations strain morale (e.g., "Nextdoor is a challenge to morale").
Budget Constraints Limiting Improvements	Tight budgets restrict training and staffing, particularly in undervalued departments (e.g., "We don't have any money").
Regulatory/External Changes and Crisis Mentality	Repeated crises without lessons learned and regulations add strain (e.g., "The city is in a crisis mentality").

4.3.7. Resident/Customer Interaction and Service Delivery

Strengths	Description
Resident feedback	Positive resident feedback is common across departments, with appreciation for personal touch, face-to-face interactions, and helpful staff (e.g., Library, Fire, Public Works, Building).
Tools	Effective use of tools like SeeClickFix/Grapevine for reporting and resolving issues, leading to quick responses and positive outcomes (e.g., Public Works receiving praise for timely fixes).
Support	Strong internal collaboration and cross-training in some teams to ensure backup support and timely service (e.g., Library and Administrative Services emphasizing no silos).
Empowerment	Empowerment from leadership in decision-making and problem-solving, fostering a supportive culture in areas like Public Works and Community Development.
Face-to-face engagement	Visible presence and direct engagement (e.g., Fire entering homes daily, building trust).

Weaknesses	Description
Outdated tools	Outdated phone systems and misdirected calls cause delays and frustration (e.g., HR, Administrative Services, Community Development noting navigation issues and unanswered phones).
Staffing Shortages	Staffing shortages and overload lead to burnout, reduced capacity, and inability to meet demands (e.g., Library, Wastewater, Parks feeling stretched thin).
Manual processes	Reliance on manual processes, lack of automation, and inconsistent training (e.g., billing errors in Finance, manual onboarding in Library).
Metrics	Limited metrics for measuring success, with many departments relying on informal feedback rather than data (e.g., no dashboards, only "no negative comments" as indicator).
Inaccuracies and delays	Inaccurate or delayed services, such as billing issues or copier problems, eroding trust (e.g., Finance's brown water complaints, Library's lapsed copier contract).

Opportunities	Description
New Technology	Adopt new technologies like eTRAKiT, AI, tablets/iPads for field staff, and online self-service to streamline processes and reduce in-person load (e.g., permitting in Community Development, remote monitoring in Wastewater).
Positions	Unfreeze positions and invest in training to increase headcount and skills, enhancing capacity (e.g., Library and Public Works suggesting more staff for extended hours and maintenance).
Shared resources	Form partnerships with other cities or organizations for shared resources, like code enforcement or training (e.g., Community Development exploring shared roles, Library benchmarking with other libraries).
Communication Channels	Improve communication channels, such as better online reservations and dashboards, to boost satisfaction and efficiency (e.g., Public Works expanding Grapevine use, City Manager suggesting interactive platforms).

Events & outreach	Leverage positive feedback to build on strengths, like expanding events or outreach (e.g., Library's program attendance tracking, Fire's community presence).
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Threats	Description
Regulations & changes	Stringent state regulations and changes (e.g., housing laws, water neutrality) override local control and slow operations (e.g., Community Development's public hearing limits, Building's enforcement challenges).
Expectations	High resident expectations and demands exceeding capacity, especially from seniors or vocal communities (e.g., Public Works' oversight from engaged residents, Library's material requests).
Social Media	Negative social media (e.g., Nextdoor) and misconceptions impacting morale and perception (e.g., Public Works' crisis mentality from repeated complaints).
Labor market	Labor market tightness and long commutes making recruitment and retention difficult (e.g., turnover in Public Works, understaffing in Wastewater).
External crises	External crises like storms or fires creating peaks that strain limited resources (e.g., Public Works' seasonal demands, Fire's call volume).

4.3.8. Forward Looking Questions

What changes do you anticipate in your business functions over the next 1-3 years, and how prepared is your team?

Technology dominates (appearing in ~60% of substantive responses), followed by staffing (~35%). Administrative departments (e.g., Finance, City Clerk) lean toward process/tech changes, while operational ones (e.g., Public Works, Building) emphasize external factors and efficiency. Library interviews repeatedly highlight outreach and hours.

Teams often rate themselves as somewhat prepared if changes involve familiar tools, but unprepared for resource-intensive shifts (e.g., needing training or hires). About 25% express explicit concerns like costs or adaptation.

Responses are mostly proactive and hopeful, focusing on improvements rather than declines. Many tie changes to broader city needs, like revenue generation or trust-building, but note unclear alignment with strategic goals.

If you could implement one major improvement to your operations, what would it be and why?

Rank #1: The most common suggestion involved hiring additional personnel, unfreezing frozen positions, improving salaries, or requiring more onsite presence to handle workloads. Rationales often center on reducing burnout, enabling service expansions (e.g., longer library hours for community access during evenings or weekends), and boosting morale through better compensation and presence (e.g., less remote work to foster team collaboration). The sentiment is urgent and practical, with interviewees noting that current shortages lead to overwhelmed teams and inconsistent service; improvements would directly support daily functions and employee retention.

Rank #2: Implementing or enhancing software, tools, or automated systems, such as new platforms for error reduction, digital tracking, or field equipment. Mentioned in roughly 30% of responses, spanning administrative and operational roles like HR/Finance (adopting Springbrook to minimize payroll errors), Water (automating quality controls for consistent supply), Public Works (tablets/iPads for field staff efficiency), and Building (eTRAKiT to eliminate paper-based processes). Rationales emphasize error reduction, time savings, and modernization (e.g., moving from manual Excel tasks to automated systems to free up staff for higher-value work, or using tech to handle seasonal demands like water discoloration). Sentiment

is Forward-thinking and optimistic, viewed as a high-impact fix for outdated methods, though tied to costs; often linked to broader digital transformations already underway.

Rank #3: Streamlining workflows, developing SOPs, or reorganizing tasks like scheduling, batch processing, or record management. Found in about 25% of responses, especially in Finance (batch closings to save time on billing cycles), City Clerk (organizing public records for quicker access), Wastewater (improved scheduling to avoid overload), and Planning (accelerating permit processes). Rationales focus on efficiency gains, error prevention, and consistency (e.g., written SOPs to ensure knowledge transfer amid turnover, or better documentation from leadership to track issues and build community trust). The sentiment is pragmatic, with a focus on low-hanging fruit that could yield quick wins; often connected to reducing redundancies and aligning with city-wide goals like faster service delivery.

What best practices from other organizations or departments could be adapted here?

Benchmarking dominates (especially in Library, where staff repeatedly express interest in peer learning), followed by technology (common in admin/operations). Process improvements are widespread but department-specific, while collaboration appears in hands-on roles. About 15% of responses were neutral or "I don't know," indicating limited exposure or focus on internal issues.

Explanations consistently link practices to efficiency (e.g., reducing delays, errors), capacity (e.g., handling growth with limited staff), and service quality (e.g., better resident interactions). Many highlight adapting from neighboring or similar-sized agencies, with conferences or lists as key sources. Responses are optimistic about potential gains but frustrated by barriers like frozen positions or budgets. Themes align with prior forward-looking questions, reinforcing needs for tech, staffing, and external input, but with less emphasis on city-wide goals.

How aligned are your current functions with the city's strategic goals, and where could alignment be strengthened?

Across the 36 interviews, 22 offered insights on alignment with the city's strategic goals, revealing varied awareness and alignment levels. A common theme is partial alignment, with departments like HR and Public Works noting their functions (e.g., hiring, safety) support goals like community trust and service delivery, yet lack clear guidance on specific objectives, as seen in mention of minimal KPI direction. About 40% express uncertainty, citing vague or inaccessible strategic goals, suggesting a need for better communication from leadership to bridge this gap.

Strengthening alignment emerges as a key pattern, with suggestions focusing on enhanced communication and metrics. Departments like Finance and Library propose regular updates or dashboards to link daily tasks to goals, such as revenue stability or community engagement. Around 30% highlight resource alignment—e.g., unfreezing positions or adopting tech like eTRAKiT—to better support strategic priorities. The sentiment is proactive, with a shared desire to align more closely, though gaps in awareness and resources, indicate ongoing challenges in integrating city-wide vision with operational roles.

5.0 Concluding Remarks and Next Steps

The Current State Analysis for the City of St. Helena's Efficiency and Business Transformation Study reveals a municipality poised for positive change but grappling with systemic challenges that hinder operational maturity and resident-focused service delivery. Key findings underscore an overall low organizational maturity (CMMI Level 1), characterized by ad hoc, undocumented processes, a lack of governance for policies and SOPs, and no formal KPIs to track performance. Situational awareness is limited, with excessive budgeting documentation attempting to compensate for gaps in asset management and strategic planning. Survey data from 53 employees (59% response rate) highlights moderate resident satisfaction (39% "Good," 35% "Average") but frequent bottlenecks (43% "Often") and non-value-added activities (30% "Often"), particularly in Administrative Services, Public Works, and Police, where average scores lag at 2.6–3.3. Open-ended responses emphasize needs for faster responses, clearer communication, digital access, and more staffing, with technology upgrades like AI and online tools seen as high-impact improvements.

Structured interviews (36 participants) provide a SWOT lens across categories. Strengths include collaborative teams, dedicated staff, and recent IT adoptions like eTRAKiT and Image Trend, fostering adaptive workflows and positive resident interactions. However, weaknesses dominate: understaffing (30% shortages, frozen positions), manual redundancies, cross-departmental delays, and outdated or lower performing tools (e.g., Springbrook rated 4–7/10) lead to burnout, errors, and inefficiencies. Culture is supportive internally but strained by low pay, high workloads, and external negativity (e.g., Nextdoor complaints), with innovation encouraged unevenly (39% "Some," 33% "Lots"). Opportunities lie in business process engineering; better management and integration of IT services and AI; and regional partnerships. Threats include turnover from commutes/pay disparities, regulatory pressures (e.g., housing laws), and budget constraints limiting training/tech investments.

Forward-looking insights anticipate tech/staffing changes in 1–3 years, with moderate preparation; and best practices from peers (e.g., benchmarking) could enhance efficiency. Alignment with strategic goals is moderate (48%) and could be strengthened by better communication and resource allocation. Overall, while the City demonstrates resilience and community commitment, addressing staffing shortages, process immaturity, and tech integration is critical for transformation, potentially yielding cost savings, higher throughput, and elevated resident trust. With targeted interventions, St. Helena can evolve from reactionary operations to a proactive, high-performing organization.

5.1 Next Steps

In Step 1, we focused on surveys and structured interviews across the entire City (See Figure 6). We also conducted an initial review of some key documentation and artifacts. This provided us with a broad "Current Analysis" of the City. Blackberg's next step is Step 2, "Data Collection Plan". In Step 2, we focus further on data collection (documents, guides, reports, budgets, schematics, flow charts, etc.). We also seek detailed data in areas identified as strengths, weaknesses, opportunities, or threats. The increased depth of analysis, from this data collection, focuses on the elements in Figure 7 that have a red or orange box. Red boxed elements are of highest priority, and orange boxed elements are of moderate priority. We will examine those elements individually and how they interrelate.

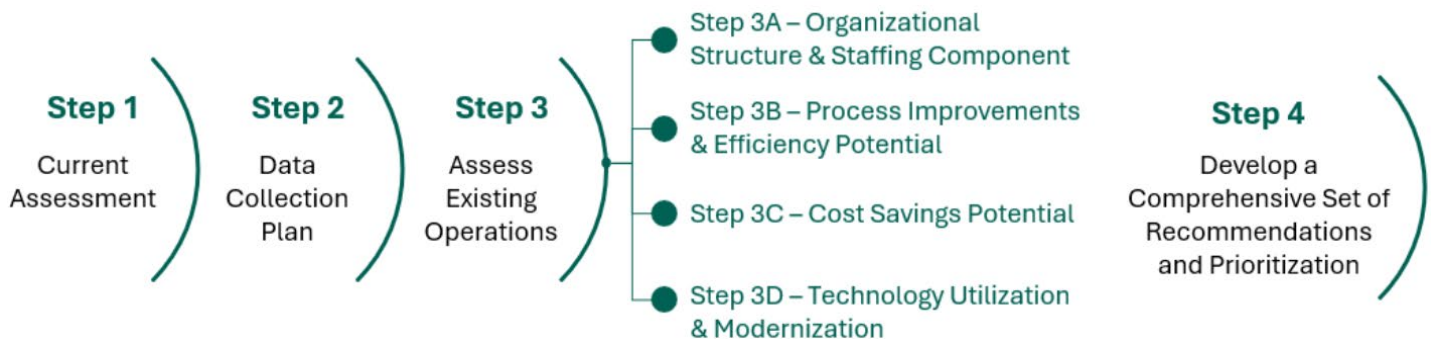
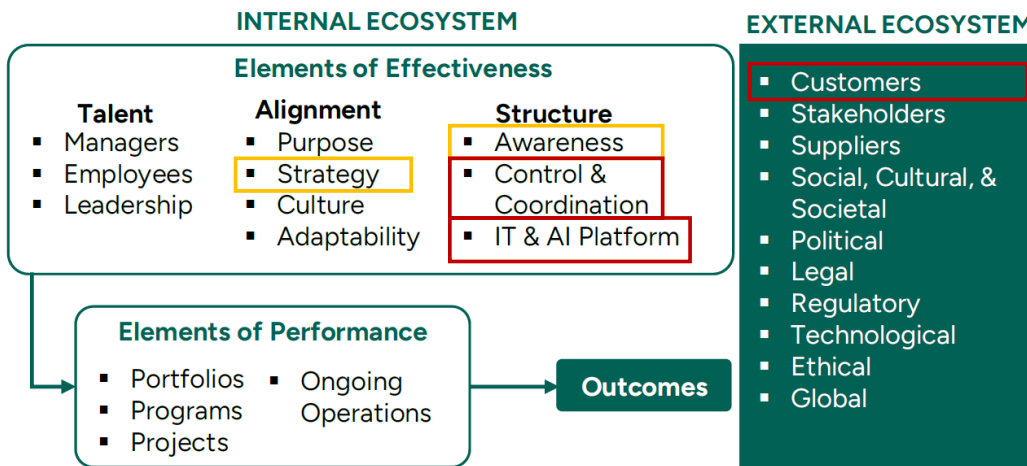


Figure 6 - Study Steps: Blackberg moves through four major steps in conducting the efficiency and business transformation study.



Control and Coordination

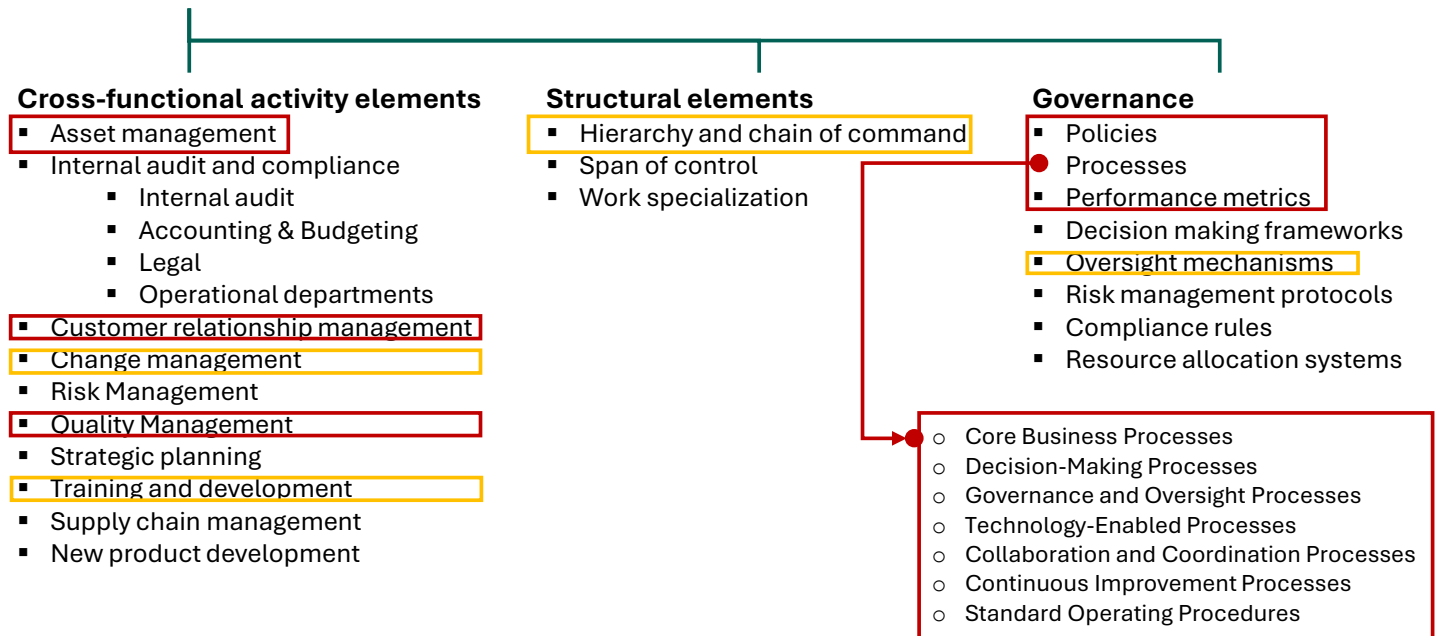


Figure 7 – City Fitness Framework: In Step 2, we begin to examine the elements in more depth with a high priority given to processes and other elements impacting customer service.

Appendix

Survey

We conducted the survey in Microsoft 365 Forms. The results are in Microsoft Excel. We conducted our analysis in Microsoft Excel and include it as a separate file.

Department	Years of Service	Overall Rating	Efficiency Rating	Business Transformation Rating	Other Metrics
Administrative Services	0-1 years	Very Good	Good	Good	...
Administrative Services	1-5 years	Good	Good	Good	...
Administrative Services	6-10 years	Good	Good	Good	...
Administrative Services	11-15 years	Good	Good	Good	...
Administrative Services	16-20 years	Good	Good	Good	...
Administrative Services	21+ years	Good	Good	Good	...
Community Development	0-1 years	Good	Good	Good	...
Community Development	1-5 years	Good	Good	Good	...
Community Development	6-10 years	Good	Good	Good	...
Community Development	11-15 years	Good	Good	Good	...
Community Development	16-20 years	Good	Good	Good	...
Community Development	21+ years	Good	Good	Good	...
Police	0-1 years	Good	Good	Good	...
Police	1-5 years	Good	Good	Good	...
Police	6-10 years	Good	Good	Good	...
Police	11-15 years	Good	Good	Good	...
Police	16-20 years	Good	Good	Good	...
Police	21+ years	Good	Good	Good	...
Public Works	0-1 years	Good	Good	Good	...
Public Works	1-5 years	Good	Good	Good	...
Public Works	6-10 years	Good	Good	Good	...
Public Works	11-15 years	Good	Good	Good	...
Public Works	16-20 years	Good	Good	Good	...
Public Works	21+ years	Good	Good	Good	...

Figure 8 – Survey Screenshot: This is a screenshot of the survey Likert scale results. The attached Excel includes multiple worksheets with analyses for different Departments.



Information and Insight Analysis

OCTOBER 21, 2025

Efficiency and Business Transformation Study



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1.0 Executive Summary

In our first deliverable, Blackberg focused on examining the current state of the City of St. Helena (City) primarily through surveying all staff and conducting structured interviews of 36 staff members. For the Information and Insight Analysis (second deliverable), Blackberg again examines the City's current state. However, with this examination, we conducted document reviews; data requests; quantitative analyses of data; interviews with Executive leadership, Finance Committee members, City Council members, and residents (small number); review of legacy analyses and surveys; one meeting with the outside IT service consultant (Apex); examination of publicly published materials on the website and social media; and examination of national benchmark data for Libraries.

Overall, our findings are consistent with the first deliverable. However, the second deliverable has given us greater insights into many of the issues facing the City, and we were able to explore new areas of the organization. We used the City Fitness Framework (CFF) as a structure for the study and the deliverable (See Figure 2, page 4).

Key Findings

The following are the key findings for the Information and Insight Analysis. We stress that the focus of this analysis is on the weaknesses and issues within the City government, not the strengths.

- 1) The various reports on budget deficiencies create confusion among staff and residents about what the actual annual shortfall is and what comprises it. There is also confusion about how the shortfall spreads over years (i.e. is it 3 years of deficits or is it in perpetuity). This is one element creating a sense of serious distrust towards City executives and the City government broadly. In section 1.1.2, we highlight some of the different realities that the City communicated about the budget in the past few years. There are obviously dramatic differences, and we see a lack of communication in explaining what reality truly is and why these differences exist (not in the Baker Tilly report, but in how the City communicated with residents and City staff about the issue). Undoubtedly, the near total lack of centralized asset management is closely tied to the budget issue, see section 1.1.6, and a near total lack of talent management is also tied to it, see section 1.1.1. We also noted that the use of Popular Annual Financial Reports ended in 2020, thereby reducing residents' ability to understand what is happening with City finances. The revisions to the budget derive from a Baker Tilly report that also included a series of budget strategies. Ideally, the City would tie these budget strategies to its Strategic Plan through a major update. However, the City does not maintain a Strategic Plan, see section 1.1.7. Finally, the combination of budget tracking issues, severe lack of management systems, governance inadequacy, and leadership and management styles creates a ripe environment for financial and/or procurement impropriety.
- 2) The Library maintains a good collection of quantitative data related to key aspects of its performance (See Figure 8). However, we did not find that it had taken the next step of computing Performance Ratios that could be used as KPIs. Therefore, Blackberg developed the Performance Ratios (see Figure 9) for comparison to national benchmarks for libraries associated with towns of similar population size. The Library demonstrates excellent levels of performance. It is arguably a top 20 or possibly top 10 performing library in the national survey. However, this does come with a much higher than average staffing cost. We spoke with the City Manager about the Library, and he began referencing the Performance Ratios with our assistance in explaining them. This immediately began helping him in making decisions about what to consider. This was an excellent example of how the City could use Performance Ratios/KPIs in making good management decisions.
- 3) There is an inadequate (almost nonexistent) talent management system within the City. There are some aspects of talent management (recruiting, training, talent review); however, there is no framework or model used. There is very little structure or planning. There is no alignment with strategy because a strategy does not exist. The lack of talent management has created a City staff in which some individuals, including executive managers, do not have the education, professional certifications, and/or experience to meet a minimal level of capability (not average) expected for their role.
- 4) Governance is severely lacking in many different aspects. The City does not have a central repository of policies, processes, and performance metrics co-located with an Integrated Policy-Performance (IPP) Grid. An IPP Grid maps policies to process and performance metrics. Undoubtedly, this is creating gaps between existing policies and actual implementation of those policies. This has also led to misunderstandings about who is responsible, accountable, supportive, consulted, or informed for work. One example that we highlight is a report from Regional

Government Services (RGS) that notes: “Notably, the City Clerk’s statutory role as FPPC Filing Officer under the Political Reform Act is not being fully met.” (RGS, “Draft Strategic Assessment Report”).

- 5) Quality Management is severely lacking. The basic definition of a Quality Management System (QMS) is a structured framework for policies, processes, and performance metrics that is designed to ensure consistent quality in an organization’s products or services. Arguably, this is nonexistent.
- 6) There is positive progress with Customer Relationship Management (CRM). The addition of the Grapevine tool is a great step in the right direction. Grapevine does have limited functionality that the City could upgrade at a later date. A central and severe problem of CRM is the lack of engagement on the core City issues (e.g. water, streets, sidewalks, affordable, housing, budget challenges). The City needs to formulate a comprehensive strategic plan to address these issues and communicate it with residents. This should be directly linked to the budget reports.
- 7) Change management is severely lacking within the City. This is highly problematic because the City is experiencing many changes as it addresses issues and challenges. An ADKAR model of change management is particularly useful for the City’s situation because it outlines five individual change stages: Awareness, Desire, Knowledge, Ability, and Reinforcement (ADKAR). A Kotter “8 Steps for Leading Change” approach may also be helpful. We did not find any evidence that executive managers are familiar with change management. To the contrary, we found evidence that some were embracing well-known missteps: failing to establish a roadmap beforehand; poor or absent communication; dismissing opposition outright-often in hostile ways; neglecting proper upskilling...etc.
- 8) Asset management is severely lacking, particularly centralized asset management that tracks maintenance completed, work completed, inventories, etc. This is a major issue within Public Works and connects directly with the issues of long-term financial planning. This also undermines the City’s ability to formulate robust strategic plans because it stifles situational awareness. Further, the lack of asset management can lead to inventory shrinkage (that includes theft) or embezzlement.
- 9) The City does not have a strategic plan. This is a critical gap as it is the key document for planning and organizing how the City will meet its vision and mission. The absence of this document is creating numerous direct issues and spill-over problems across the City.
- 10) The budget crisis (or perception of it) is creating negative effects on culture within the City Departments and Divisions. It’s leading to both rumors and legitimate concerns about job security. It is also leading employees to “wonder why they are working hard if the entire Division might be shut down.” These concerns link directly to the first key issue that we highlight in this section.
- 11) Apex is making progress in improving the City’s IT position, particularly with cybersecurity; however, there is still room for significant improvement in general management. There appears to be no enterprise architecture for IT. The City needs enterprise architecture to map how its IT systems are supporting people and processes. Within AI, the City is lagging its peers (See Figure 21). The City is currently in the bottom 10% of the benchmark data.
- 12) Our in-depth review of processes within Public Works, Administrative Services, and Community Development revealed a CMMI maturity level ranging from 1-2. The City’s business process environment reflects early-stage maturity with limited standardization and no formal continuous improvement framework. Please see Figure 3 (page 7) for reference on maturity levels. A major concern is that none of the managers with whom we spoke were familiar with the concept of business process maturity levels, and they tended to score City process maturity at much higher levels than what is justified by definition.

2.0 Background and Purpose

Blackberg conducted this study to develop “Information and Insight Analysis” of the City of St. Helena (City).

Blackberg’s engagement with the City has a primary objective and primary goal:

- **Objective** - assess current business processes, identify inefficiencies, and recommend strategies for improvement and transformation.
- **Goal** - align City services, technology, and organizational structure in a way that makes it easier and more efficient for residents to access services and conduct business with the City.

The Information and Insight Analysis is the primary deliverable for “Step 2” that is shown in Figure 1. Step 1 focused on surveys and structured interviews of City staff with limited documentation reviews. Step 2 is a broader review of the elements within the City Fitness Framework (CFF) (See Figure 2, next page) that includes more quantitative and document reviews with a heavy focus on management systems and models (or a lack thereof). In this examination, Blackberg explores to what degree professional management is present in the City.

Basic Definition: Professional management includes a clear structure, clear goals, and people-focused execution. It means strategies, strong leadership, and efficient processes. From an organization’s view, hallmarks include clear goal-setting SMART objectives, plus solid communication to keep everyone aligned. There is effective delegation, where managers empower teams without micromanaging. Data-driven decisions are key, using metrics to track progress. Accountability is present through regular reviews, and adaptability handles changes smoothly. Finally, fostering culture with training and feedback builds high-performing groups.

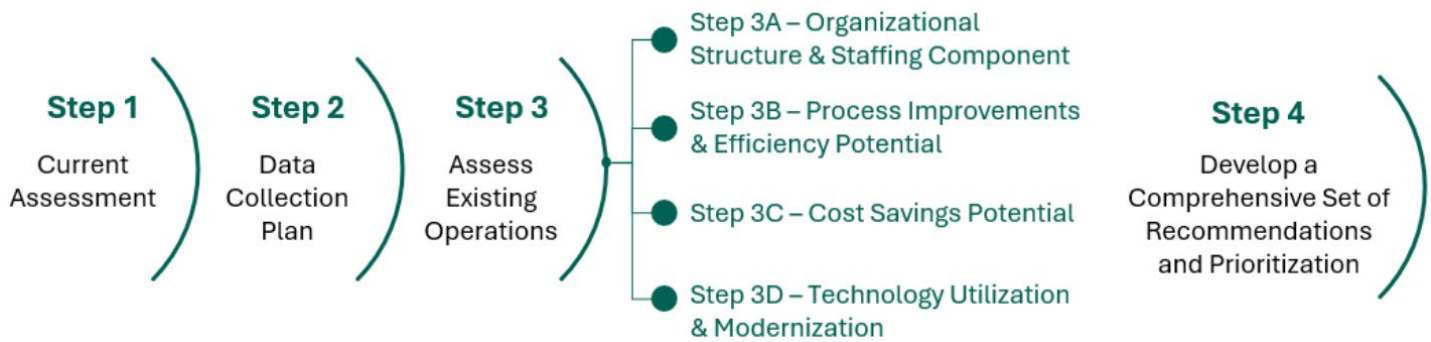


Figure 1 - Study Steps: Blackberg moves through four major steps in conducting the efficiency and business transformation study.

3.0 Methodology

Blackberg used the City Fitness Framework (CFF) (See Figure 2) to provide structure and context for the study. For the Information and Insight Analysis, we shifted to examining organizational elements outside of “Structure” (See Figure 2), but we also continued our analysis of Structure. One can study each element within the CFF in relative isolation, but the reality of any organization is that each element is interacting with all other elements as a complex adaptive system. Therefore, it is important to understand the major interactions. For the Information and Insight Analysis, we began examining those interactions. We also conducted more detailed analyses of Process and Performance metrics in Public Works, Administrative Services, and Community Development. Our methods included document reviews; data requests; quantitative analyses of data; interviews with Executive leadership, finance committee members, City Council members, and residents (small number); review of legacy analyses and surveys; one meeting with the outside IT service consultant (Apex); examination of publicly published materials on the website and social media; and examination of national benchmark data for Libraries.

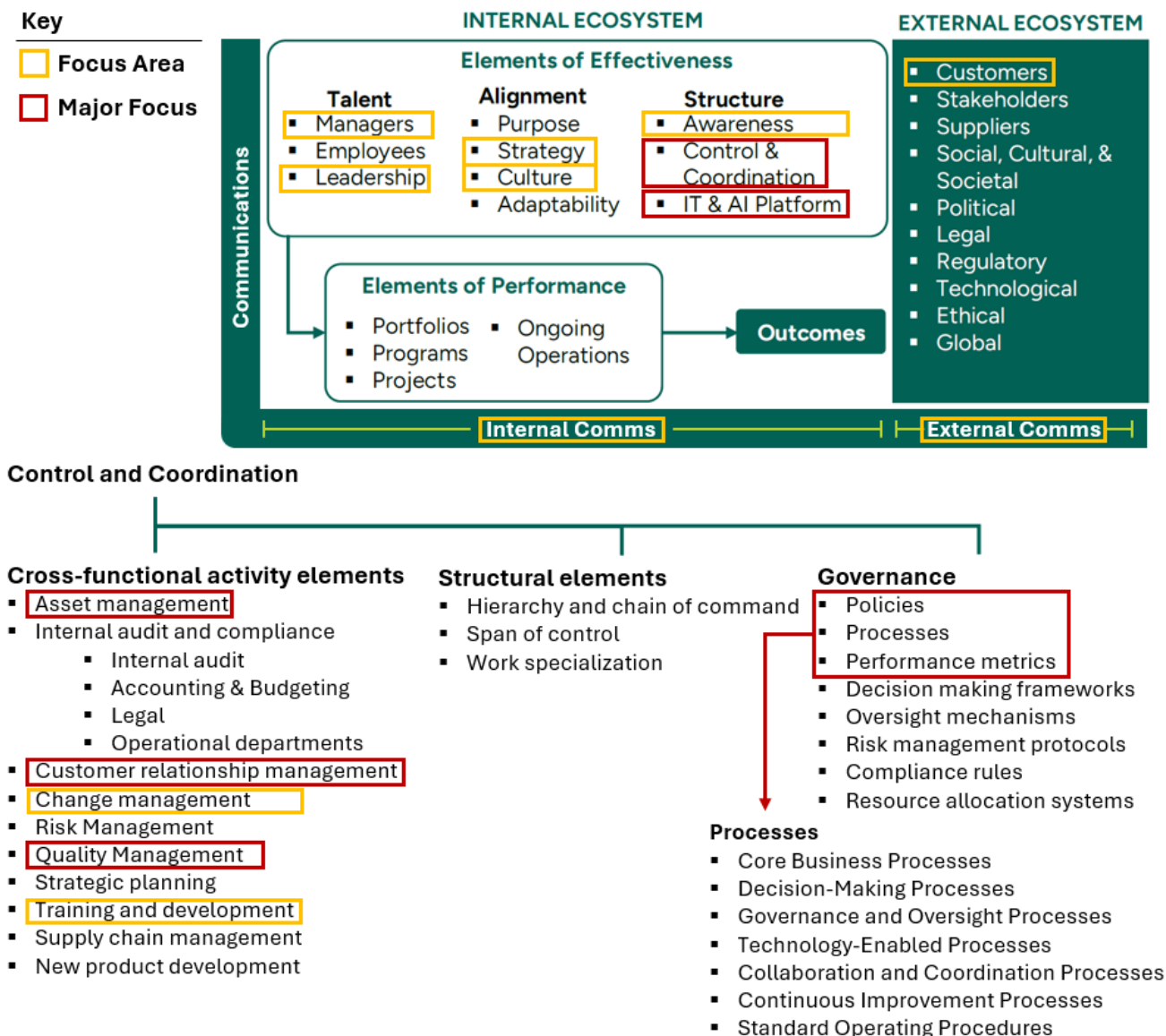


Figure 2 – Blackberg City Fitness Framework: In conducting efficiency and business transformation studies, Team Blackberg examines all elements that impact a City’s effectiveness and performance.

4.0 Key Findings and Themes

Based on document reviews; data requests; quantitative analyses of data; interviews with Executive leadership, finance committee members, City Council members, and residents (small number); review of legacy analyses and surveys; one meeting with the outside IT service consultant (Apex); examination of publicly published materials on the website and social media; and examination of national benchmark data for Libraries, Blackberg identified the key findings. We emphasize that most of the key findings are not simple, one-dimensional problems; rather, they are complex, multidimensional problems. In the following key findings, we attempt to be as succinct as possible, but we must expand the findings to address some of the multidimensional nature of these issues.

- 1) The various reports on budget deficiencies create confusion among staff and residents about what the actual annual shortfall is and what comprises it. There is also confusion about how the shortfall spreads over years (i.e. is it 3 years of deficits or is it in perpetuity). This is one element creating a sense of serious distrust towards City executives and the City government broadly. In section 1.1.2, we highlight some of the different realities that the City communicated about the budget in the past few years. There are obviously dramatic differences, and we see a lack of communication in explaining what reality truly is and why these differences exist (not in the Baker Tilly report, but in how the City communicated with residents and City staff about the issue). Undoubtedly, the near total lack of centralized asset management is closely tied to this issue, see section 1.1.6, and a near total lack of talent management is also tied to it, see section 1.1.1. We also noted that the use of Popular Annual Financial Reports ended in 2020, thereby reducing residents' ability to understand what is happening with City finances. The revisions to the budget derive from a Baker Tilly report that also included a series of budget strategies. Ideally, the City would tie these budget strategies to its Strategic Plan through a major update. However, the City does not maintain a Strategic Plan, see section 1.1.7. Finally, the combination of budget tracking issues, severe lack of management systems, governance inadequacy, and leadership and management styles creates a ripe environment for financial and/or procurement impropriety.
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- 12) Our in-depth review of processes within Public Works, Administrative Services, and Community Development revealed a maturity level ranging from 1-2. The City's business process environment reflects early-stage maturity with limited standardization and no formal continuous improvement framework. Please see Figure 3 (next page) for reference on maturity levels. A major concern is that none of the managers with whom we spoke were familiar with the concept of business process maturity levels, and they tended to score City process maturity at much higher levels than what is justified by definition.



Figure 3 – Capability Maturity Model Integration (CMMI): We use CMMI to assign a process maturity score to the City. CMMI has 5 levels of maturity with 5 being “most mature.”

5.0 Detailed Analysis

5.1. Quantitative Data

In this section, we share the quantitative data that we were able to obtain, and we include some discussion of it. We used the data to further inform the “Insights” section that is in section 5.2. Within the Insights section, we provide a deeper discussion of findings. We will also reference this data in our future deliverables that focus on recommendations on transformational changes needed.

5.1.1. Staffing

Blackberg received staffing data on September 23, 2025. This data included a breakdown of staffing by Department, Division, full-time positions, and part-time positions. Some of the full-time positions listed were vacant, but there was active recruitment occurring. We noted additional positions with a status of “unfunded” or “frozen”. We did not count these positions in the staffing summary.

Staffing Summary

Department	Division	Full-Time Positions	Part-Time Positions
City Manager's Office	Executive	1	
City Manager's Office	City Clerk	2	
Total:		3	
Administrative Services	Administrative Services	6	
Administrative Services	Human Resources	1	
Total:		7	
Community Development	Community Development	6	
Total:		6	
Community Services	Executive	2	
Community Services	Recreation	2	23
Community Services	Library	3	7
Community Services	Fire	8	15
Community Services	Police	15	
Total:		30	45
Public Works	Executive	9	
Public Works	Buildings & Streets	4	
Public Works	Parks & Trees	5	
Public Works	Underground Utilities	4	
Public Works	Water Treatment	3	
Public Works	Wastewater Treatment	4	
Total:		29	
Grand Total:		75	45

Figure 4 – Staffing Summary

5.1.2. Budget

The City's budget suffered from a lack of long-range planning being tied to assets. In the Figure below, The City had a long-range budget forecast that showed minimal deficits and an overall healthy surplus.

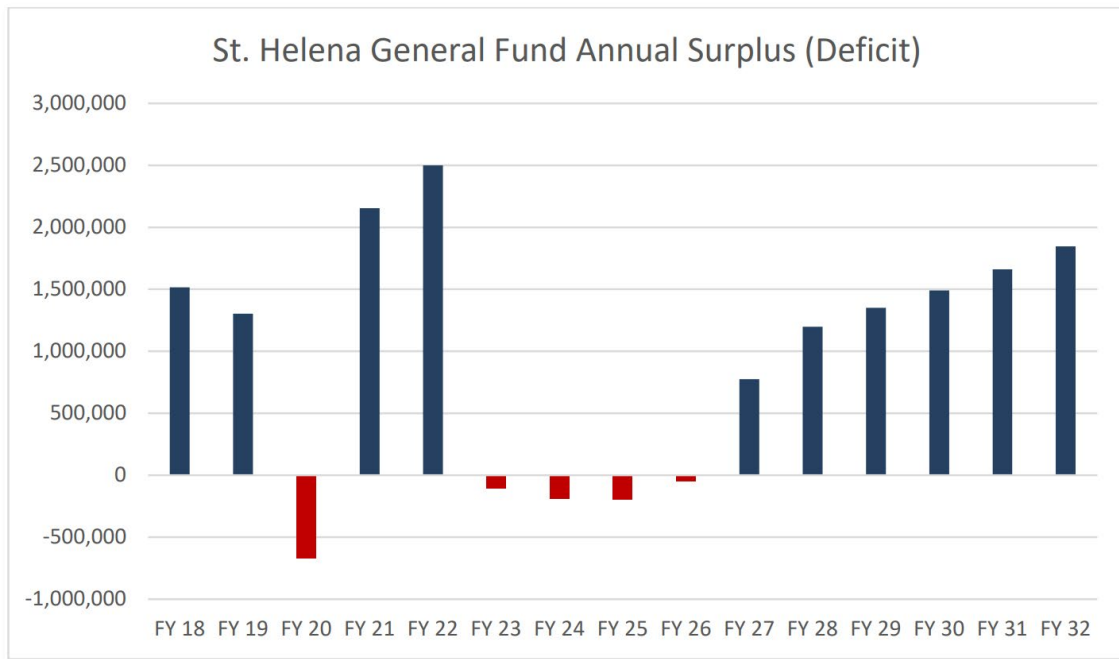


Figure 5 – Original Long-Range General Fund Forecast - dated August 29, 2022: This is a snapshot from the Baker Tilly “Report to the City Council on 28 Feb 2023.”

The City's forecast faced a series of updates that completely changed the outlook. The first update showed a concerning, but still manageable, series of deficits between 2023 and 2028. The City could cover these deficits from the Fund Reserves.

Updated Baseline General Fund Forecast

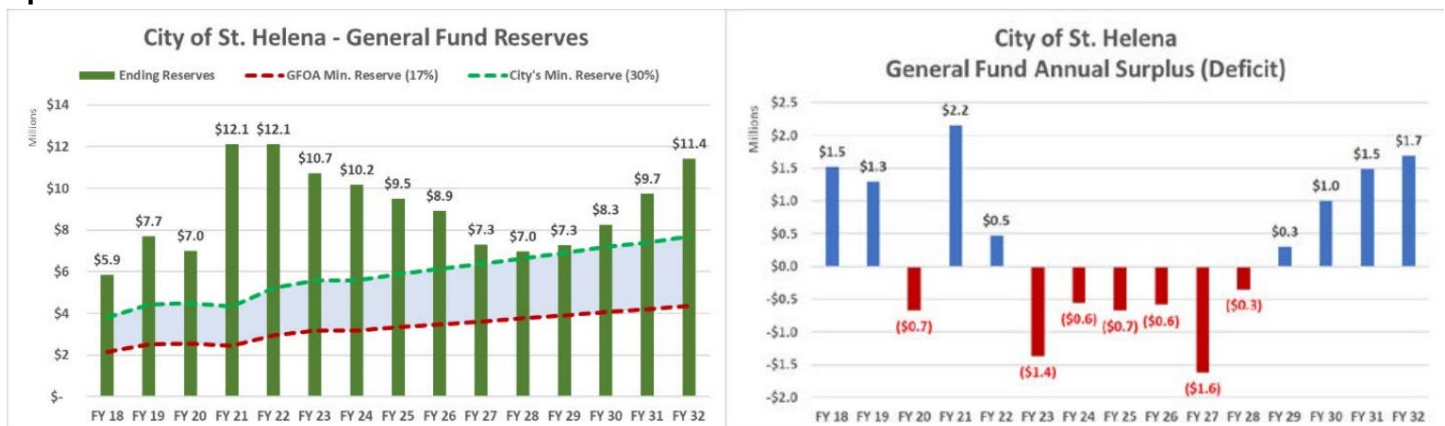


Figure 6 – St. Helena Updated Baseline General Fund Forecast: This is a snapshot from the Baker Tilly “Report to the City Council on 28 Feb 2023.”

The City then conducted “a series of studies, working committees, and reports to categorize assets, provide cost estimates for replacement/repair, and develop funding strategies for the replacement/repair of assets/infrastructure.” (Presentation on Long Range Financial Plan Options and Council Discussion and Direction, 28 Feb 2023). This resulted in an “estimated

\$155 million in Capital Improvement Plan (CIP) projects identified over the next 30-years in the following categories: Streets, Storm-drain, Water, Wastewater, and Civic facilities.”

The following is a direct quote from the “Long Range Financial Forecast Budget Strategies” provided by Baker Tilly:

“With the baseline forecast updated, Baker Tilly reviewed the City’s identified unfunded or underfunded needs and capacity to meet the service delivery expectations of the community. These needs are summarized in the three areas discussed below.

1. **Compensation adjustments.** The City is challenged with recruiting and retaining talent to fill necessary positions for basic service delivery. Initial estimates indicate that current compensation and benefits are well below market. Addressing this would require additional General Fund resources totaling \$1.7 million per year if implemented in FY 2024, which would bring City positions to within 75% of the variance between existing compensation levels and the median based on the compensation survey.

2. **Ideal staffing levels.** City staff assessed necessary positions to meet the community’s desired service levels and the City Council’s established priorities. These positions include a grants coordinator, code compliance staff, administrative assistants/analysts, one additional police officer, and maintenance workers. The cost of the eight new positions and the unfreezing of one position to address these staffing needs would be approximately \$1 million per year to the General Fund.

3. **Capital funding needs.** The City has assessed its unmet capital funding needs in five areas: streets, stormwater, civic facilities, water, and wastewater. Water and wastewater capital projects are funded by utility charges with the City Council having the authority to establish rates that cover both operational and capital costs. The other three capital areas could require General Fund sources. Based on the needs to address these three infrastructure areas, the City staff anticipates unfunded obligations totaling over \$2.5 million per year through FY 2028, tapering down to over \$2 million per year starting in FY 2029 and beyond. The unfunded capital and staffing needs are presented in Table 3 below.”

Category	Estimated Annual Shortfall Year 1
Streets CIP	\$1,787,000
Stormwater CIP	\$324,000
Civic CIP	\$413,000
Staffing	\$2,776,000
Total Shortfall –General Fund	\$5,300,000
Water CIP	\$25,000
Wastewater CIP	\$11,000
Staffing – Other Funds	\$1,154,000
Total Shortfall – All Funds	\$6,490,000

Figure 7 – Summary of Underfunded Capital and Staffing Needs – Year 1 (Table 3): This is a snapshot from the Baker Tilly “Report to the City Council on 28 Feb 2023.”

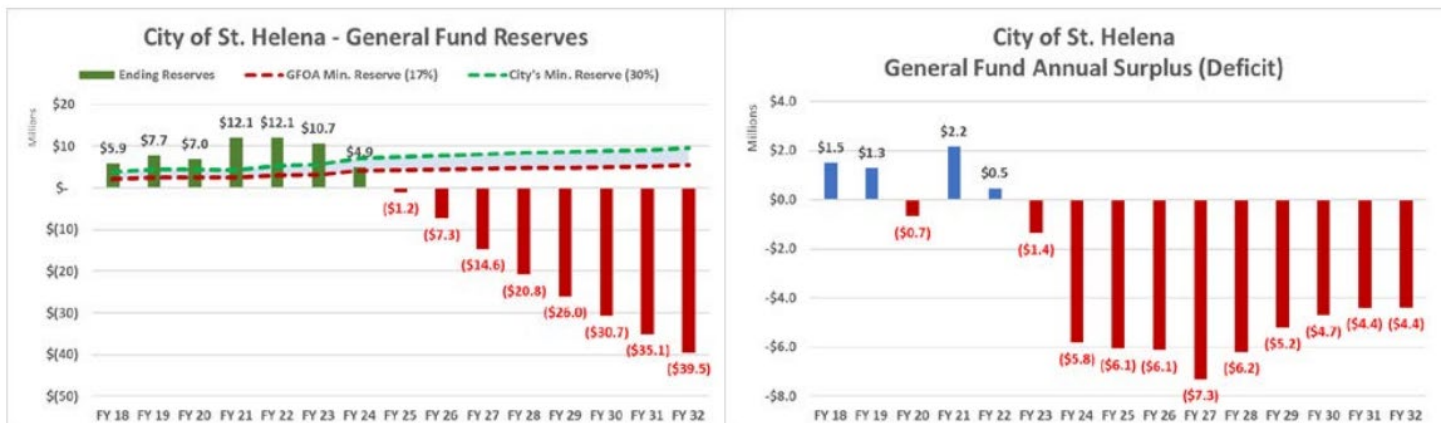


Figure 8 – Revised General Fund Forecast Including Additional Capacity and Addressing Unfunded/ Underfunded Needs: The final revision shows budget deficits that are highly alarming for City.

Baker Tilly provided a variety of strategies and scenarios to address the budget shortfall. This included detailed descriptions and expected outcomes of various strategies on Pages 11-26 of the *“Report to the City Council on 28 Feb 2023.”*

Critical Concerns: For any municipal government, the Baker Tilly findings and long-term financial forecasts should serve as an enormous “call to action.” However, the City did not respond by conducting a root-cause analysis nor did it create a strategic plan to explain how it would address these issues. This was a major missed opportunity to begin driving needed change. In our interviews, we found residents joining the City Finance Committee to investigate the situation (root cause analysis), and they informed us that they thought the City “needed some type of overarching plan for addressing the budget and other issues in the City.” A strategic plan would satisfy what they described to us.

We also noted distrust on both the side of the Committee and the City. Residents and City Staff have reported this issue of distrust to us on many occasions. If the City develops a strategic plan, and we highly recommend it does, a major strategic objective should be to address this issue of distrust.

5.1.3. Library

The data (See Figure 8) shows a very popular and well-run St. Helena Public Library (Library). It also shows a strong recovery from the COVID-19 shutdowns. This recovery is strong even though it is hampered by an FTE Staff reduction that reduced the number of programs dramatically. The data aligns with the Godbe Research that showed “Library Programs and Services” as the second highest rated (behind Fire Protection Services) in terms of “Satisfaction with City Services, Programs and Facilities.”

Measures	2019	2020	2021	2022	2023	2024
Open Hours	2,257	1,787	728	2,227	2,193	2,428
People with Library Card	6,905	6,635	6,521	4,651	5,012	6,436
Physical visits	98,848	67,336	9,983	45,142	59,765	64,144
Website visits	41,200	43,659	45,072	48,136	49,584	54,635
Print materials	50,412	49,297	45,335	44,870	43,988	34,136
Collection items	184,189	217,537	160,596	243,684	136,034	47,291
Electronic materials	45,760	50,210	50,667	944,644	326,637	37,576
Checkouts	181,903	129,087	139,264	1,057,383	432,086	156,592
Lent to outside libraries	32,331	22,738	24,856	21,206	21,244	8,418
Brought from outside libraries	17,432	13,440	19,797	13,799	12,245	14,548
FTE staff	8.05	7.92	6.40	6.40	6.02	6.00
Reference questions	8,892	6,669	11,388	8,164	7,436	5,556
Programs	640	427	34	185	167	110
Program attendance	11,011	6,489	786	3,270	4,158	3,322

Figure 8 – Library Quantitative Data

We did not find evidence that the Library maintains **Performance Ratios**. However, the Library does have a considerable amount of high-quality, quantitative data that tracks its performance. Further, it participates in the Public Libraries Survey (PLS). To better understand, the Library’s performance, we used data from the PLS to compare it to 330 other libraries across the country, to which we collectively refer as “comparables.” The comparables were limited to towns with a population of 4,801 to 5,598 residents. The results of our analysis produced the Performance Ratios found in Figure 9 (next page).

Based on the Performance Ratios, the Library’s performance is exceptionally good. It is arguably in the **top 10** libraries in the data set. To the extent that there are negatives in the Performance Ratios, 3 of the 4 negative results are simply products of the Library’s success. They are driven by much higher usage and more intensive usage than average. The Library receives about 200% more physical visits than an average library of its size. Further, of those who visit the library, they request librarian reference support about 250% more and borrow about 80% more. This leads to the need for higher amounts of Staffing per 1,000 service hours; usage of a higher amount of operating income per capita; and higher collection expenditure per capita. The one negative that the Library should examine is the Collection Turnover Rate. It is in the negative because of the very large number of electronic resources available. The Library could consider lowering this. This would also improve the Collection Expenditure per Capita. We also note, that once you adjust for work volume, the Library is running a slightly leaner than average staffing (See Performance Ration “Staffing per Visits per Open Hour”).

Figure 9 – Library Performance Ratios

Performance Ratios	St. Helena	Average		Definition	Formula	Typical Benchmark for Small Libraries (Pop. ~5,000)
Total Circulation per Capita:	28.33	6.00	Higher is better	Measures borrowing activity relative to the served population; indicates collection relevance and user engagement.	Total circulation (physical + electronic) ÷ Population of legal service area	5–10 items per person annually (e.g., 25,000–50,000 total for a 5,000-person town). Higher rates suggest strong demand.
Visits per Capita	11.16	3.98	Higher is better	Gauges foot traffic and in-person engagement	Total physical visits (TOTPHYS/VISITS) ÷ Population of legal service area	4–6 visits per person annually (e.g., 20,000–30,000 total).
Reference Transactions per Capita	1.39	.57	Higher is better	Tracks informational assistance provided; reflects staff expertise and patron needs met.	Total reference transactions ÷ Population of legal service area	.4–3 per person annually (e.g., 5,000–15,000 total).
Collection Turnover Rate	.35	0.70	Higher is better	Shows how often materials are checked out; higher rates indicate a fresh, in-demand collection.	Total circulation ÷ Total collection size (at year-end)	2–4 turnovers per year for adult/children's materials combined.
Staffing per 1,000 Service Hours	2.75	1.64	Lower is better	Evaluates staffing efficiency during open hours; balances service quality with costs.	Total FTE staff (professional + other) ÷ Annual public service hours in 1,000's	1.5 FTE per 1,000 service hours (e.g., for a library open ~2,500 hours/year, 1.25–2.5 FTE).
Staffing per visits per open hour	0.23	0.27	Lower is better	Evaluates staffing efficiency during open hours adjusted for physical visits per hour.	Total FTE staff (professional + other) ÷ Visits per Open Hour	Middle range: .23–.3
Operating Income per Capita	216.41	53.17	Lower is better	Assesses funding adequacy relative to community size; key for financial health.	Total operating revenue ÷ Population of legal service area	\$50–\$80 per person annually (e.g., \$250,000–\$400,000 total).
Staffing Expense Ratio	0.74	0.80	Lower is better	Proportion of budget spent on personnel; indicates investment in human resources vs. other costs.	Total staff salaries & wages ÷ Total operating expenses	50–65% of budget.
Program Attendance per Capita	0.78	0.64	Higher is better	Measures community engagement with library programs (e.g., storytimes, workshops). High attendance indicates strong outreach.	Total program attendance (PLS #503) ÷ Population of legal service area (PLS #100)	0.5–1.5 visits per person annually (e.g., 2,500–7,500 total). Higher for active libraries.
Circulation per Visit	2.54	1.51	Higher is better	Gauges how often visits lead to borrowing; indicates collection relevance per interaction.	Total circulation (PLS #601) ÷ Total physical visits (PLS #501)	1–2 items per visit. Your 64,000 visits might yield 64,000–128,000 circulation for this range.
Visits per Open Hour	26.58	12.99	Higher is busier	Measures how busy the library is during operating hours; useful for scheduling/staffing.	Total physical visits (PLS #501) ÷ Total annual public service hours (PLS #500)	10–20 visits per hour. For 64,000 visits over ~2,500 hours/year, your library is ~25.6 visits/hour—above average.
Collection Expenditure per Capita	22.32	5.06	Lower is better	This is the total dollar amount spent on all library materials, including print (books, periodicals) and non-print items (audio, video, and digital resources) relative to community size.	Total collection expenditure (PLS #350) ÷ Population	\$5–\$10 per person annually (e.g., \$25,000–\$50,000 total).

5.1.4. Planning Division

The Planning Division provided the following 2024 metrics:

Planning Permits	#
PC Applications Approved	14
Administrative Applications Approved	42
Number Denied	0
% of Issue letters completed within 30 days	100
# planning applications On hold-Let's discuss	9

The Building Department provided the following 2024 metrics:

Building Permits	Residential	Non-Residential
Number Issued	370	120
Average Number of Days for City Response-first submittal	28	28
Number Denied	0	0
2024 Application Fees (plan check and inspection)	\$350,300.11	\$51,619.65

5.1.5. Grapevine Report

We received the following data from Grapevine reporting for the period 01/01/2025-9/30/2025:

ALL CATEGORIES		PW CATEGORIES		NON PW CATEGORIES	
Tickets Submitted	584	Tickets Submitted	532	Tickets Submitted	52
Avg Days to Acknowledge	2	Avg Days to Acknowledge	2	Avg Days to Acknowledge	3
Avg Days to Close	14	Avg Days to Close	13	Avg Days to Close	16
Median Days to Acknowledge	1	Median Days to Acknowledge	1	Median Days to Acknowledge	1
Median Days to Close	8	Medians Days to Close	8	Median Days to Close	10

5.1.6. Parks and Recreation

Below are the activities, participants, and total fees collected by Parks and Recreation. At this time, we do not have the total costs for the City's recreation programs, but ideally, the fees should cover 50-70% of the cost, to align with benchmarks.

Summer Camps			Fall Programs		
Activity	Participants	Total	Activity	Participants	Total
Adventure Day Camp 2025	222	\$ 41,340.00	Fall Bocce League	14	\$ 3,150.00
After Care: Adventure Day Camp	57	\$ 2,565.00	Kickboxing & Muay Thai- Fall Session 2025	9	\$ 3,510.00
Challenger Soccer Camps	10	\$ 2,126.00	Youth Soccer	191	\$23,780.00
Crane Park Tennis Academy: Ages 4-16	84	\$ 28,560.00	Matias Martial Arts Taekwondo- Fall 2025	26	\$ 9,630.00
Junior Pickleballers Camp	6	\$ 2,040.00		240	\$40,070.00
Kids Cooking Camp with Chef On	7	\$ 2,625.00			
National Academy of Athletics Summer Camps	70	\$ 13,500.00			
Play-Well STEM Summer Camps	23	\$ 1,610.00			
	479	\$ 94,366.00			

Summer Programs			Fall Programs		
Activity	Participants	Total	Activity	Participants	Total
Kickboxing & Muay Thai- Summer Session 2025	5	\$ 1,950.00	Spring Bocce	92	\$42,850.00
Matias Martial Arts Taekwondo- Summer 2025	26	\$ 10,062.00	Youth Basketball	0	\$ -
Water Aerobics	27	\$ 2,070.00	Matias Martial Arts Taekwondo- Summer 2025	26	\$10,062.00
Adult Slow Pitch Softball	12	\$ 5,775.00	Adult Basketball League	11	\$ 6,050.00
Community Soccer Night Adult Tournament	13	\$ 325.00	Co-Ed Youth Volleyball	49	\$ 3,675.00
	83	\$ 20,182.00	Kickboxing & Muay Thai- Spring Session	11	\$ 4,290.00
			Little Sluggers Tee Ball	46	\$ 2,990.00
				129	\$58,962.00

Figure 10 – Annual Activities Report for Parks and Recreation

5.1.7. City Clerk

The City hired Regional Government Services (RGS) to assess the City Clerk's Office. The assessment focused on current practices, processes, and organizational structure. RGS estimated a weekly workload for the Clerk's Office of 42-60 hours, and a breakdown of that weekly workload is shown in Figure 11. The requirements of the City Clerk are currently being met by two individuals working in coordination with each other. One estimates his time commitment of 50%, while the other estimates her time commitment of approximately 70%. This is in line with RGS's estimate of a 42-60 hour workweek. Please note that these two individuals are also fulfilling other roles currently.

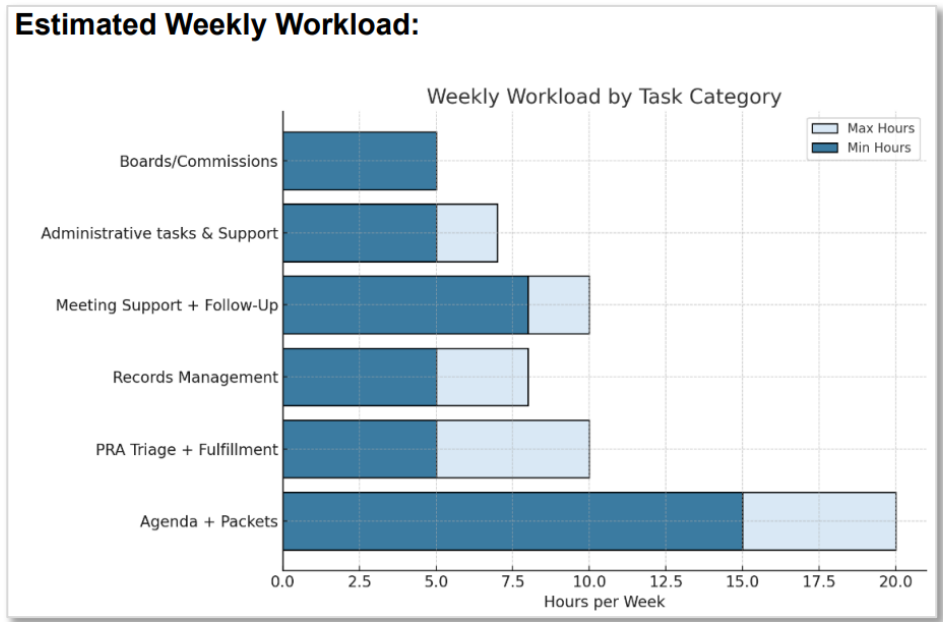


Figure 11 – City Clerk's Office work Breakdown Estimate

RGS also identified the following comparatives for the Clerk's Office. A significant finding is that St. Helena processes a very high number of public record requests (PRA) each year. St. Helena's volume is approximately 3x what Calistoga processes.

The City Clerk's office has two major issues: 1) there is a significant backup of records digitization with boxes of physical records held in several City locations that the Clerk's Office needs to digitize; and 2) the current IT solutions do not enable further automation that would better serve residents and relieve pressure on the City Clerk's office (i.e. PRA requests).

City/Year	PRAs	Resolutions	Claims	Ordinances	Population
St. Helena 2025 (YTD - June 18, 2025)	97	60	3	2	5257
St. Helena 2024	177	165	4	7	5257
St. Helena 2023	161	169	21	5	5257
Napa 2025 (YTD - May 30, 2025)	202	56	57	6	76921
Napa 2024	451	137	110	5	76921
Calistoga 2025 (YTD - June 18, 2025)	25	55	2	3	5022
Calistoga 2024	30	98	3	13	5022
Yountville 2025 (YTD - June 16, 2025)	15	32	0	1	3356
Yountville 2024	55	88	2	3	3356
Carmel by the Sea (YTD - July 9, 2025)	135	69	N/A	1	3200

Figure 12 – City Clerk Comparables

5.2. Insights

The insights section contains details on the City's status in various elements of effectiveness and performance. We also examine the external ecosystem for customers and City communications. The yellow-boxed items represent areas of focus for our analysis, and the red-boxed items represent areas of major focus for our analysis.

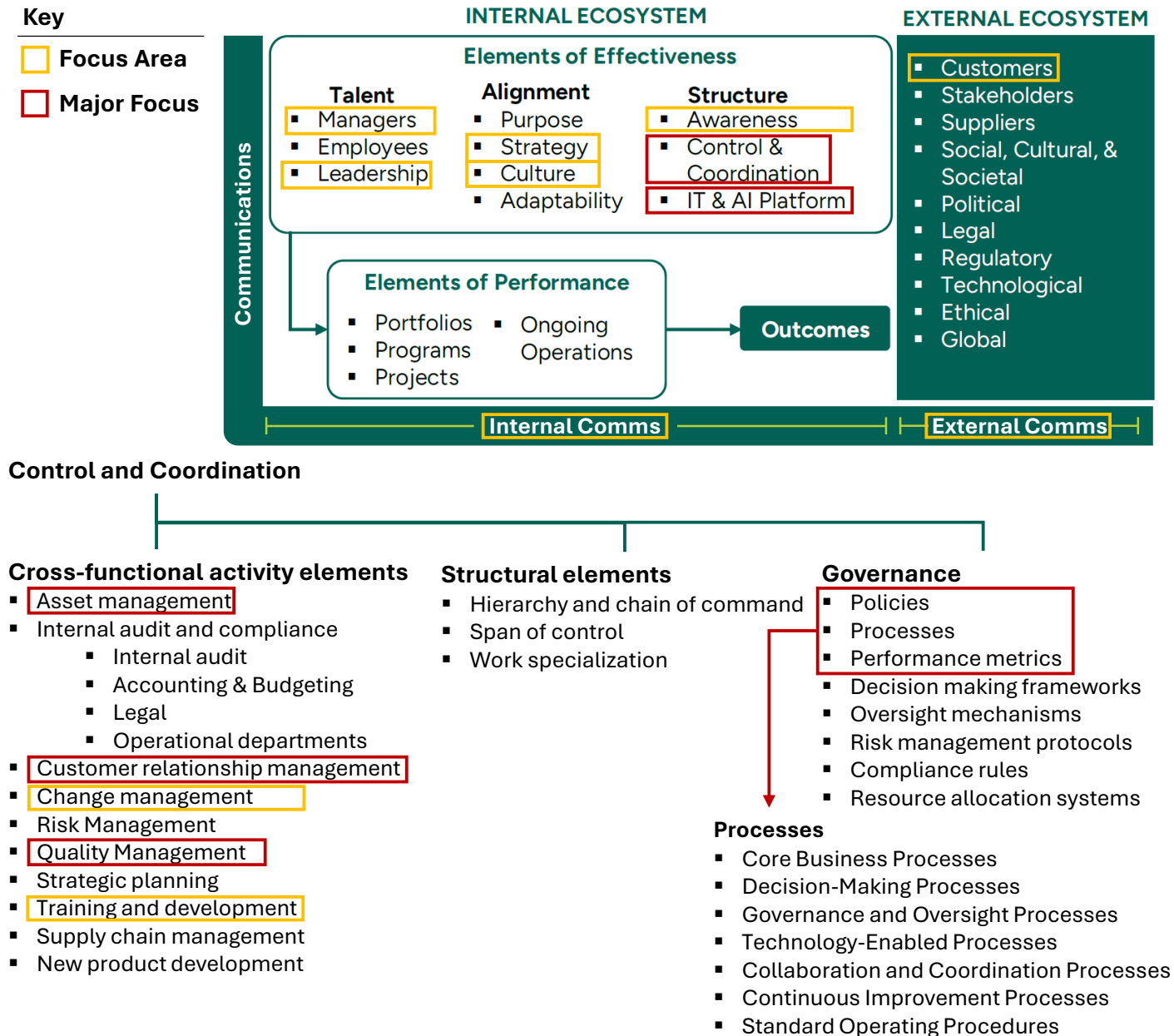


Figure 13 – City Fitness Framework: In conducting efficiency and business transformation studies, Team Blackberg examines all elements that impact a City's effectiveness and performance.

5.2.1. Talent

Within the element of talent, we examine two primary aspects of the organization: 1) the talent management system and 2) the capabilities of individuals broadly.

Talent management system. We found the City’s talent management system to be severely lacking or non-existent in certain components. There are many different talent management systems, but most of them contain the same components or highly similar components (See Figure 14). To the degree that we found some components present, they tend to be reactionary. For example, training does occur, but it tends to occur as a reaction to a new system being implemented or an employee pushing for a type of training. However, we do not see evidence of stated competencies with planned future dates for related training. This seems particularly acute for general management knowledge competencies. In other areas, like performance management, we saw even less evidence of a systematic approach. If an employee(s) is having performance issues, is there a stated process that is followed for documenting the issues and providing corrective action in a robust manner? Except for extreme circumstances, the answer is mostly “no.” When you look at the principles of talent management, such as “Alignment with Strategy,” this does not exist because the City has no Strategic Plan. These are just some select examples of the overall lack of a talent management system.

Capabilities of Individuals Broadly. We did not assess the “employees level” (See Figure 13); however, we did assess at the management and leadership levels (including executive leadership) levels. Our findings are mixed. In the Police and Fire Departments, we found evidence that management and leadership levels have an expected set of capabilities, degrees/certifications, and experience. In the Library, we found evidence that management and leadership have an exceptionally strong set of capabilities, degrees/certifications, and experience.

Critical Considerations: We have major concerns about other Departments and Divisions within the City. We found multiple positions lacking in what we consider to be minimal qualifications. Minimal qualifications are not attributes that can easily be rectified with mentoring, coaching, or professional training courses. These are attributes such as an appropriate type of bachelor’s or master’s degree, total years of relevant experience, or major professional certifications. This issue is likely secondary to the City not maintaining minimum qualifications for positions in a talent management system and facing challenging recruiting environments.



Figure 14 – Example Talent Management System

5.2.2. Governance

The governance of policies, processes, and performance metrics is severely lacking. Currently, the City does not have a central repository of policies, processes, and performance metrics co-located with an Integrated Policy-Performance (IPP) Grid. An IPP Grid is a taxonomy of all policies, processes, and performance metrics used across the city. It shows how specific performance metrics align to specific processes and how specific processes align to specific policies.

In practice, the structure creates a two-way flow between executive leadership and daily operations. The downward flow includes: City Council defines the policies; City Manager and Executives establish high-level processes; and Mid-level management establishes detailed processes and performance metrics in consultation with executive leadership. The upward flow includes: daily performance drives performance metrics data that flows up to Mid-level management, City Manager and Executives, and City Council.

Governance of the IPP Grid should include a routine review and development cycle (that is codified) to ensure consistent development and currency of policies, processes, and performance metrics. The City's policies, processes, and performance metrics should also be catalogued and saved in the same central repository (e.g. SharePoint) for reference. To provide clarity on roles and responsibilities, a variation of the classic RACI chart is often helpful to use. The variation is a "RASCI" chart. The RASCI chart adds the "S" to include the role of "Support." This enables the City to identify the roles as they relate to specific policies, processes, and performance metrics.

Critical Considerations: The City's charter establishes a "Council-Manager" form of government. In this form of government, the Council appoints a City Manager, and the City Manager delivers professional management of the City. However, there is a breakdown in this model that appears to have been present for many years. The breakdown is a lack of use of fundamental professional management approaches, frameworks, and models. A key example is the lack of a strategic plan. Our research revealed that the City has not had a strategic plan in the past 10 years, and likely, it has never had one. The City Council may need to codify the expectation that the City Manager create and maintain a strategic plan and other fundamental professional management approaches, frameworks, and models.

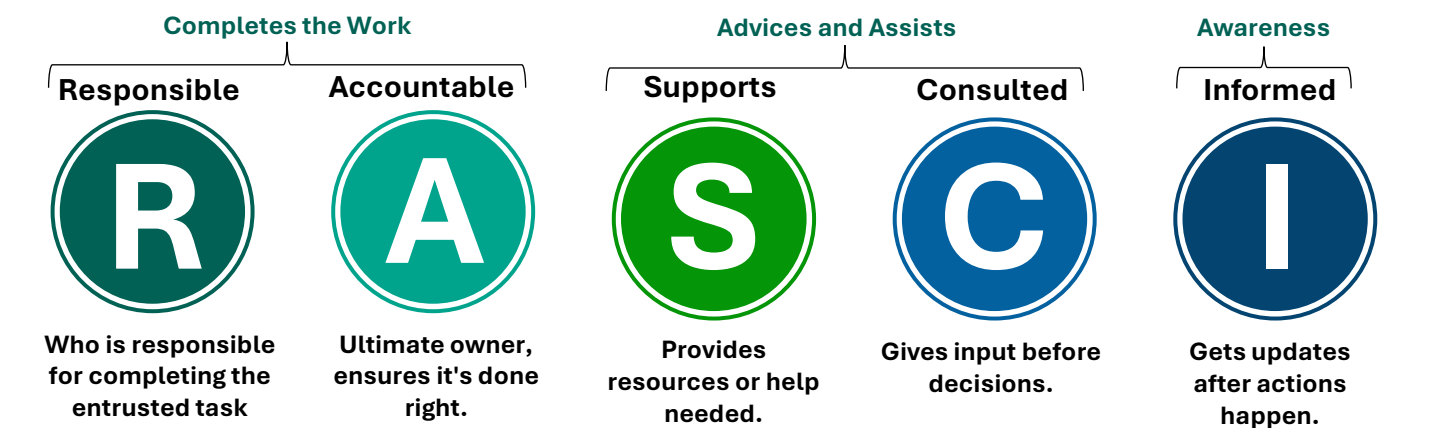


Figure 15 – RASCI Chart Concepts

5.2.3. Quality Management

Quality Management is critical for resident satisfaction, and it is intrinsically linked to processes. For example, to the extent there is a quality issue, one should implement process modification to eliminate the issue or improve the quality. The basic definition of a Quality Management System (QMS) is a structured framework for policies, processes, and performance metrics that is designed to ensure consistent quality in an organization's products or services. This directly ties to the City's need to establish Governance for policies, processes, and performance metrics. Further, a city government QMS revolves around key components such as risk management, process control, continuous improvement, and compliance with regulatory requirements.

Currently, the City has been improving by establishing elements of a QMS; however, we do not find evidence of a full QMS framework that is documented with a structured plan for incremental development and operation. Obvious QMS guidance that the City may consider is ISO 9001:2015 (general quality management) and ISO 18091:2019 (tailored for local governments), the system would focus on resident satisfaction, operational efficiency, and compliance with California regulations (e.g., for water security and environmental sustainability, aligning with City Council goals). Lean Six-Sigma is another QMS for consideration in the future. To provide some conceptual guidance of a QMS, we include Figure 16. This is not our recommended QMS for the City; rather, it is a generic QMS to highlight the general structure. In the future, we will provide a specific QMS recommendation for the City.

Conceptually, Quality Management includes Quality Assurance and Quality Control (See Figure 16). The City is currently focused on Quality Control with some Proactive Management and a lot of Reactive Management. Although this represents the early stages of Quality Management implementation, it is an improvement from the historical situation within the City that often-ignored complaints and issues. However, the City still needs to improve Quality Management through the implementation of Quality Assurance concepts and a more universal Proactive Quality Control.



Figure 16 – Example Quality Management System

5.2.4. Customer Relationship Management

The City has a broadly available Customer Relationship Management (CRM) system (we are applying a loose definition here of CRM) that is called “Grapevine.” Grapevine is available via the City’s website or on mobile app. The City describes Grapevine as, “a free, easy-to-use app and web-based platform that allows City of St. Helena community members to provide pictures, videos, specific descriptions, and more to request fixes to issues throughout the City including potholes, missing signs, and water leaks. This tool will allow various City departments, including Public Works, to manage requests more efficiently with a centralized and integrated reporting and task management system. City staff can assign tasks to specific individuals or teams, track its status, and engage with residents further as needed, including letting them know when an issue has been fixed or resolved.”

Grapevine is a type of municipal service request platform. While Grapevine excels at basic 311-style service requests (aligning with the city's goals for community information and engagement), it functions more as a narrow 311/constituent service tool than a full-fledged Customer Relationship Management (CRM) system. True CRMs (e.g., Granicus or Salesforce for Governments) handle broader constituent interactions, including emails, surveys, event registrations, and analytics. There are many strengths with Grapevine; however, the City should also be aware of some of the likely key weaknesses, which we highlight in the table below.

Weakness	Description	Relevance to St. Helena
Limited Scope Beyond Service Requests	Primarily designed for one-way issue reporting (e.g., submit photo/GPS of a pothole, track resolution), lacking robust two-way communication, personalized outreach, or integration with other channels like email/SMS campaigns. No native support for proactive engagement,	Hinders broader resident relationship-building, as noted in the study’s emphasis on “Resident/Customer Interaction and Service Delivery.” For a small city, this silos interactions, missing opportunities to tie requests to educational content (e.g., sustainability tips).

	such as newsletters or targeted surveys on council goals (e.g., water management feedback).	
Basic Analytics and Reporting	Offers simple status updates and community voting, but lacks advanced dashboards, predictive analytics, or segmentation (e.g., by neighborhood or issue type). No AI-driven insights for trends like recurring water leaks or infrastructure hotspots.	Conflicts with the study's call for better "Efficiency and Performance" metrics; could limit data use in budget processes (e.g., FY 2025-26 priorities for infrastructure). Small cities need scalable analytics without high costs.
Integration Challenges with Existing Systems	Minimal native APIs for linking to city tools (e.g., budget software, GIS for water resources, or HR systems). Custom integrations (e.g., with the city's financial policies) may require vendor support or IT workarounds.	Amplifies "IT and AI Platform" gaps from the study; poor coordination could frustrate departments like Public Works (e.g., syncing service requests with garage cost allocation in budgets).
Scalability and Customization Limitations	Optimized for basic, high-volume requests in small towns but struggles with custom workflows (e.g., multi-step approvals for environmental sustainability projects) or scaling to include non-issue features like event RSVPs.	As a city pursuing "Forward Looking Questions" in the study, it may not evolve with needs like AI-enhanced engagement; limited customization could strain the small staffing of Departments.
User Adoption and Accessibility Barriers	Relies on app/web access, which may exclude non-tech-savvy residents (e.g., seniors in a wine-country town). Community voting feature risks "popularity bias" over equitable input, and there's no offline mode for field reports.	Undermines "Culture" and "Talent" themes by not fully engaging diverse residents; could widen gaps in community information, per council goals.
Security and Compliance Risks	Handles public data (e.g., photos of issues) but may lack advanced features like GDPR/CCPA-level privacy controls or audit trails for sensitive reports (e.g., environmental hazards). As a free tool, vendor support might be basic.	Poses risks for a city with strict financial policies; could expose data in transformation efforts without robust governance.

Beyond Grapevine, the City has started making other strides in CRM. A basic example is pushing cultural change that emphasizes responding quickly to customer requests that arrive via phone calls. The City has also been making strides with customer communications that support CRM. However, we did not find evidence of a formal CRM system.

5.2.5. Change Management

Change is hard, and it often fails within organizations: "70% failure rate: A classic statistic from McKinsey (1995) and echoed in Harvard Business Review (2000), where initiatives like restructuring or cultural shifts often falter due to execution gaps. This is reaffirmed in 2022-2025 reports, with only about 30% fully succeeding." This is why change management is critical for organizations. It will not guarantee success, but it will greatly improve the probability of success (and make it easier for everyone involved).

There appears to be little or no change management used by the City in a systematic way. We found no evidence that common change management models/frameworks (e.g. Prosci ADKAR, Kotter's 8-step, etc.) are understood and being used. However, we know the City is attempting to make significant changes. Information Technology (IT) changes are an example. An ADKAR model (See Figure 17) would be an excellent fit for IT-centered changes. This situation is unnecessarily lowering the probability of success as the City moves forward with changes.

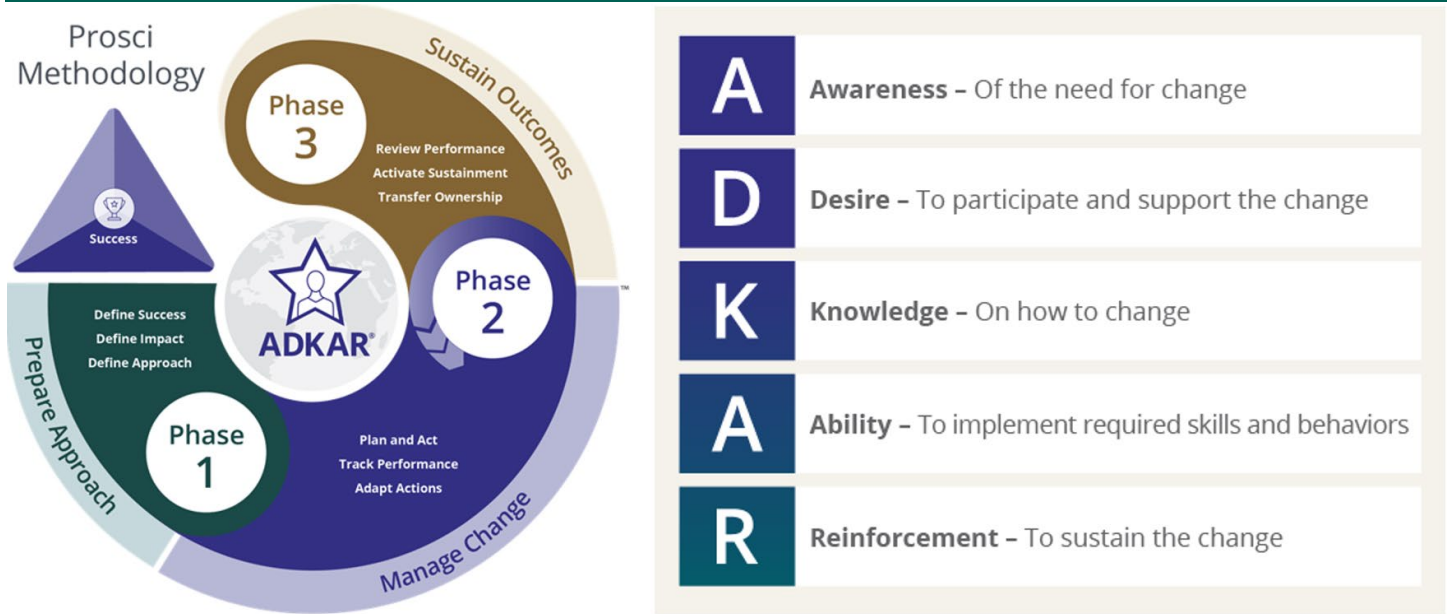


Figure 17 – ADKAR Model of Change Management

5.2.6. Asset Management

City assets encompass a broad range of items: Land and parkland, buildings, vehicles, infrastructure (sidewalks, roads, bridges, etc.), equipment, utilities (water/sewer systems, streetlights, etc.), furniture, cash, and investments. We can subdivide assets in various ways; however, for this section, we simply address two broad categories: 1) savings accounts, checking accounts, and investments and 2) tangible assets. The management of cash and investments fits within the category of finance and accounting, which the City has examined separately. Therefore, we focus on tangible assets outside of that. Overall, the City is severely lacking in asset management systems and frameworks.

We found evidence that City Departments and Divisions track some tangible assets through spreadsheets and other documents. However, in other cases, it appears that there is no tracking. This problem becomes particularly acute when we expand the concept from a simple list of tangible assets to maintenance and condition management. The problem grows further when we begin searching for information that addresses what work has been completed on assets (e.g. what maintenance has been performed this year; what new installations have been completed this year; etc.).

We have seen evidence that there is some monthly and weekly planning for work to be completed, but there is a lack of benchmarking and quantitative measurement of it. There is also some basic planning for seasonal tasks that occur annually, but it is limited to major, well-known items, such as brush clearing for fire prevention. The individual that provided us this information also stressed that these monthly and weekly planning sessions had only started in the past year, and prior to that, there was none. A separate individual reported to us that they were having a conversation with multiple Public Works employees at lunch. When that individual asked the Public Works employees what they would be doing the rest of the afternoon, they said, “we don’t know, we don’t have anything scheduled.”

There is a complete lack of centralized management. There is no centralized system that tracks all the asset maintenance and condition. The City does use ArcGIS, but it is not being used effectively. This is a key point. We have heard the usage of misleading responses or information. For example, “does the City have a centralized asset management system?...Yes, we have ArcGIS”. However, there are many different ArcGIS solutions and simply having the system does not mean it is being used effectively or correctly. We heard many reports of residents requesting a service for items ranging from potholes to road signs, yet the time period to have them addressed spanned years in some cases. Further, there was no follow-up with the resident to explain when it will be fixed or why it will not be fixed.

This is an area we need to investigate further; however, it has been difficult to get information from Public Works. For example, we made the following request to Public Works on September 29, 2025:

Joe,

Good afternoon, I'm a Blackberg consultant and am trying to get some volume of work data for public works. Do you have any data similar to the following:

Buildings and Streets: Annual counts like number of street repairs, pothole fixes, sidewalk installations, building inspections, maintenance tickets, etc. Do you have square footage maintained for buildings, miles of streets paved or repaved, and maybe emergency response logs for urgent calls.

Parks & Trees: Annual tree planting, pruning, or removal counts; park maintenance hours or visits logged; playground inspections; trail upkeep miles; or irrigation system repairs. Also, any season workload data (e.g. brush and debris removal for fire prevention).

Underground Utilities: Annual water, sewer, gas repairs, sewer line cleanings or CCTV inspections, hydrant flushes, new service connections-both residential and commercial-and average response time to emergencies like breaks or backups; and footage flushed or jetted each year.

Water Treatment: Gallons processed daily or annually, annual number of filter changes, chemical usage volumes-like chlorine or fluoride-backwash cycles run, compliance test results, and any maintenance downtimes.

Waste Water Treatment: Gallons treated yearly, sludge volume hauled off, pump station calls-outs, overflow incidents, biosolids processed-like tons per month-and permit violation counts, meter readings for flow rates and energy use. Also, is public works tracking any benchmarking data or performance data for these divisions? I know this is a lot to ask for, but it is important for our analysis.

After multiple follow-up emails to Public Works and City Executives, we received the following response on October 8, 2025: "Here's some data from a community academy presentation in 2024. The other data requests are not readily available and will take more time..."

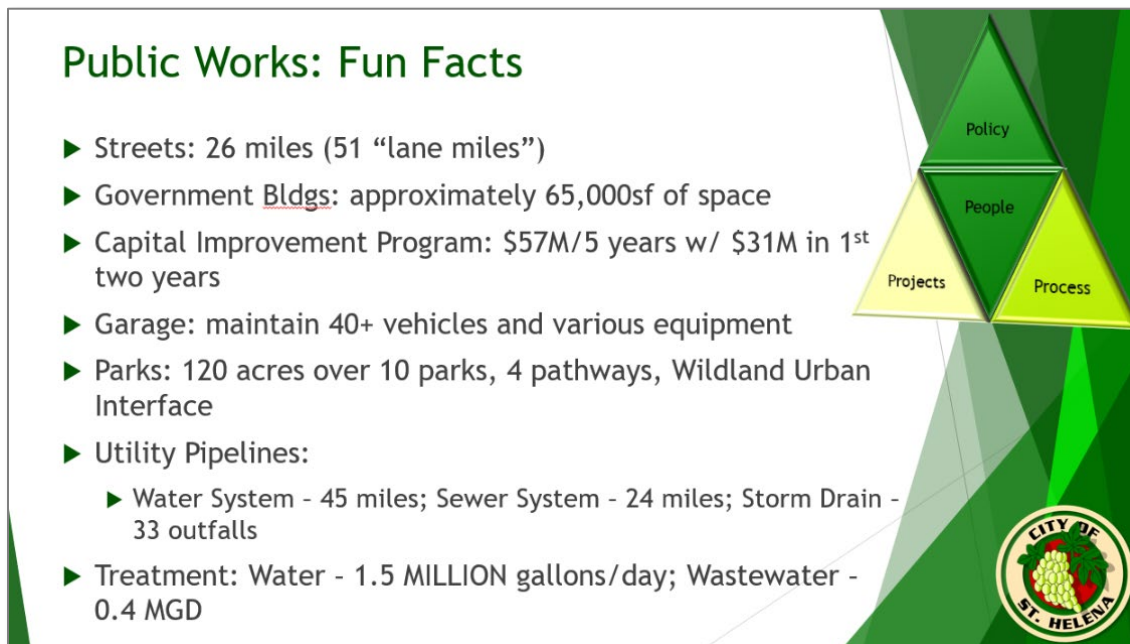


Figure 18 – Public Works Fun Facts Data

As of October 20, 2025, Blackberg has not received any further information from Public Works.

Even with the limited data provided by Public Works, we find areas of concern. First, this data implies that Public Works is managing 65,000sf of building space; however, we received reports that the Library has a roofing issue and there is no planning or budgeting for this issue. The reports also stated that there was confusion over who is responsible for requesting money in the budget for the roof repair. Second, Public Works stating “120 acres over 10 parks, 4 pathways, Wildland Urban Interface” is misleading. Most Cities differentiate between “natural areas or undeveloped parkland” and “developed parks or active recreation spaces”. A resident could see such a report and think: “the City is mowing, weedeating, fertilizing, irrigating, and gardening 120 acres of land every week”. However, is the City actually doing this, or does the 120 acres include a substantial amount of undeveloped parkland? We received input from one resident who said: “We had been trying to get the City to make some repairs at the skate park for a very long time. When they finally came out, it was four or more managers all talking about what to do. The repair request was pretty simple. Why would it take all these different managers to visit the park?”

We did find that asset management at the Water Treatment facility was more robust; however, the data remains at the plant and not in a centralized system.

5.2.7. Strategy

Originally, we were told that St. Helena had a Strategic Plan; however, it is no longer in use. We then discovered that the City might not have ever had a strategic plan, but it does have a mission and vision statement. The City has a “General Plan,” but its purpose differs significantly from a Strategic Plan. The General Plan “...sets forth the City’s policies to guide future land use decisions and provides the needed framework to preserve the character and quality of development that the community desires. The General Plan also helps to establish the processes by which the City’s evolution and changes to existing land uses will take place.”

A strategic plan is vital for St. Helena to provide a clear roadmap for achieving long-term goals, ensuring fiscal resilience, and enhancing infrastructure. It aligns resources with City Council objectives, such as water security and community engagement, fostering efficient governance. This structured approach enables proactive decision-making, adaptability to challenges, and sustained community development, as outlined in the FY 2025-26 and 2026-27 budget documents. It also supports communication with managers, employees, and residents. Currently, communications are ranked relatively low by residents based upon the Godbe Research report of a 0.60 rating for “Communicating with Residents.”

Critical Considerations: The City’s website contains a copious amount of information. The routine communications are good, and they meet or exceed what Blackberg typically sees in a town of this size. However, the communications do not address the key issues facing the City (Water, Roads, Budget, etc.). Further, communications lack a unifying document that provides a summary of the City’s efforts in a relatively easy to understand format. We emphasize the “easy to understand” because many publications are dense legal or accounting focused documents (e.g. 300+ page budgets). When we visit the website, we see key issues being addressed, albeit sparsely (See Figure 19). However, when one clicks on the “Water Enterprise Spending...” link, you arrive at a letter from a law firm (See Figure 19). This is excellent for transparency, but it is challenging for 90% or more of Residents to understand. Further, it does not overtly show how this links to any larger strategy to address Residents’ concerns or interests. A City Strategic Plan would provide the missing “unifying document” that the website lacks and would significantly improve communications with Residents (i.e. what is the City doing about water quality, affordable housing, road repairs, and the budget issues).

City's Website Communications

Letter from Law Firm

 Water Enterprise Spending: Community Questions Answered	 2025 Pavement Projects Have Started Major roadway improvements are coming to St. Helena with work starting	 Mayor's Budget Message: Emphasizing Belt Tightening and Shared Sacrifice	 Memorandum To: City Council City of St. Helena From: Best Best & Krieger LLP Date: June 21, 2025 Re: Proposition 218: Response to Assertions Raised by Tom Belt File No.: 83578.00116 Ethan Walsh (916) 551-2821 ethan.walsh@bbklaw.com
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Figure 19 – Example City Communications

5.2.8. Culture – Library and Parks and Recreation

In both the Library and Parks and Recreation, the culture demonstrates commitment to quality and desire to serve the St. Helena community. We found evidence of a culture committed to collaboration, transparency, and improvement. However, there are also clearly negative elements in both Divisions. These negative elements are job insecurity and mission insecurity. Both negative elements stem from the budget challenges faced by the City. Employees are concerned, given the non-critical nature of their Divisions, that they may face significant budget cuts or be dissolved entirely. This results in feelings of, “why am I working hard to build and improve this Division if it’s going to be dissolved.” There are also direct concerns about future employment.

In addition to these negative elements, there is also a sense that they are an “after thought” of executive leadership within the City. They also discuss receiving little in terms of communications from executive leadership.

Critical Considerations: To the extent possible, communications to these Divisions about future plans would be helpful. Undoubtedly, there are legitimate degrees of uncertainty; however, the City should focus on preventing untrue rumors from spreading by directly addressing these types of concerns with employees.



Mayor's Budget Message: Emphasizing Belt Tightening and Shared Sacrifice

We find ourselves facing a challenging fiscal environment. Like families and businesses throughout our City, we must confront hard choices as we work to close a significant budget gap.

[Read on...](#)

5.2.9. IT & AI Platform

The City is currently using Apex Technology Management, LLC (Apex) to support IT. Prior to Apex’s engagement, the City experienced a major cybersecurity event in May of 2024 that involved a ransomware attack. This attack and prior attacks targeted the City’s on-premise servers.

This incident highlights ongoing risks to municipal systems, that was similar to attacks on other California cities. California municipalities, counties, and local government entities (including school districts and utilities) have been frequent targets of cyberattacks in recent years, with a notable uptick in 2024 and 2025. Based on official reports and security analyses, the most common types include:

- **Ransomware Attacks:** Malicious software encrypts systems or data, demanding payment for restoration. These often disrupt city services like payments, libraries, and administrative functions.
- **Unauthorized Access and Data Breaches:** Hackers gain entry to networks, stealing sensitive information such as Social Security numbers, medical records, financial details, or personal identifiers. This is the most reported type, leading to identity theft risks.
- **General Cyber Attacks:** Broad category including phishing, malware, or denial-of-service (DoS) attacks that compromise systems without specific ransom demands.
- **State-Sponsored or Sophisticated Campaigns:** Increasingly tied to geopolitical tensions, involving espionage or advanced persistent threats (APTs).

These attacks exploit vulnerabilities in outdated infrastructure, limited cybersecurity budgets, and human error. California leads nationally in at-risk cities, with metros like Fresno, Bakersfield, Riverside, Stockton, Sacramento, Los Angeles, and San Francisco topping vulnerability indexes due to high population density and critical infrastructure. Ransomware incidents surged 126% globally in 2025, with U.S. local governments heavily impacted.

As last reported in fiscal year 2024, the City maintains the following IT subscriptions:

Department	IT Subscriptions	Term*	FY24 Annual Cost
City-wide	Microsoft 365	12 months - Auto Renew	23,715
City-wide	Microsoft Project	12 months - Auto Renew	2,892
City-wide	Adobe	12 Months	9,585
City Clerk	ECS Imaging - Laserfische	12 months - Auto Renew	13,850
City Clerk	I-compass	12 months - Auto Renew	6,880
City Clerk	Granicus	12 months - Auto Renew	1,504
Finance	Springbrook	12 months - Auto Renew	55,362
Finance	Stampli	12 months - Auto Renew	14,400
Finance	Breeze Smartware	12 months - Auto Renew	1,980
Finance	GovInvest	12 months - Auto Renew	12,381
Finance	OpenGov	12 months - Auto Renew	2,800
Human Resources	NeoGov	3-Year Term	23,596
Human Resources	Target Solutions	12 months - Auto Renew	9,116
Library	Userful	12 months - Auto Renew	3,383
Library	SPLASH	12 months - Auto Renew	50,138
Library	OCLC	12 months - Auto Renew	2,829
Planning	TrakIT	12 months	24,625
Public Works	ArcGIS	12 months - Auto Renew	1,043
Police	RIMS	12 months - Auto Renew	17,248
Police	LEFTA	12 months - Auto Renew	1,639
Police	Critical Reach	12 months - Auto Renew	250
Fire	Zoll	12 Months	2,453
Fire	Image Trend	12 months - Auto Renew	10,381
Fire	Active 911	12 months - Auto Renew	300
Recreation	ActiveNet	12 months - Auto Renew	1,288
Community Development	eTRAKit		
Total Annual Cost:			293,637

Figure 20 – City IT Subscriptions

Our primary concern is not cost; rather, we are concerned with integration issues between the large number of different products (Software-as-a-Service (SaaS)) being used. We confirmed that integration issues already exist in Finance. The City would likely gain significant operational efficiencies by using an enterprise solution that has full integration. The cost of an enterprise solution would not lower cost directly; however, the efficiency gains would reduce the total labor hours needed while delivering a higher-quality solution.

Cybersecurity is another important concern for the City. Municipal governments can significantly reduce risks by adopting a multi-layered approach to cybersecurity. These strategies are drawn from guidelines by organizations like CISA (Cybersecurity and Infrastructure Security Agency) and industry reports tailored to local governments. The strategies include (See next page table):

Cybersecurity Mitigation Strategies	City Use
Implement Robust Backup and Recovery Practices: Create regular, immutable (unchangeable) off-site or cloud-based backups that are tested frequently. This allows quick restoration without paying ransoms and can reduce recovery costs by up to 50% in ransomware incidents. Aim for the 3-2-1 rule: three copies of data on two different media types, with one off-site.	Apex is supporting this. The City has cloud backup. We offered them an appliance as a backup and temporary server.
Enforce Multi-Factor Authentication (MFA): Require MFA for all accounts, especially remote access like VPNs, which are common entry points for attackers. This simple step can block up to 99% of account compromise attempts.	"I believe they are just using Microsoft authenticator. They are MFA enabled." -Apex
Conduct Employee Training and Awareness Programs: Train staff on recognizing phishing, social engineering, and safe internet practices. Regular simulations and updates are key, as human error causes over 70% of breaches.	"Yes, we include security awareness training. They are enrolled and receiving it. 32 phishing tests completed. Most people have not finished the training. 7-12 have actually completed the course. Annual training is up to 20 minutes. The rest is just a couple minutes." -Apex
Adopt Zero Trust Architecture: Assume no user or device is inherently trustworthy. Use network segmentation to limit lateral movement by attackers, and implement continuous verification.	"They have it implemented. We do dark web monitoring. We use threat locker." - Apex
Maintain Patch Management and Software Updates: Regularly update all systems, software, and firmware to close vulnerabilities. Automate where possible to address known exploits quickly.	"Yes, Apex is doing patch management and software updates via 'Automate'." -Apex
Develop and Exercise Incident Response Plans (IRP): Create a detailed IRP with communication protocols, roles, and regular drills. Include coordination with federal agencies like CISA or the FBI for rapid response.	"IRP is part of our process. It has not been built yet. We do have best practices templates. This is a "to do" item." - Apex
Secure Endpoints and Use Advanced Tools: Deploy endpoint detection and response (EDR) tools, antivirus software, and firewalls. Monitor for anomalies using AI-driven threat intelligence.	"Yes, that is handled." -Apex
Obtain Cyber Liability Insurance: This provides financial protection and often includes access to expert response teams, though it requires meeting certain security standards to qualify.	"Yes, the City has this insurance." -Mandy Kellogg
Collaborate and Share Resources: Leverage state or federal resources, such as those from MRSC (Municipal Research and Services Center) or NIST, for training, audits, and shared threat intelligence.	"No, this is not in use." -Apex

Migrating from on-premise servers to cloud-based infrastructure is widely recommended as a key mitigation strategy for enhancing cybersecurity in municipal IT systems. Cloud providers (e.g., AWS, Microsoft Azure, Google Cloud) offer managed security features that often surpass what small governments can maintain in-house. However, it's not a complete solution—proper configuration and ongoing management are essential to avoid new risks like misconfigurations.

Benefits of Cloud Providers		
Benefit	Description	Relevance to Municipal Governments
Enhanced Security Features	Cloud platforms provide built-in tools like encryption, automated threat detection, firewalls, and compliance certifications (e.g., FedRAMP for government use).	Reduces exposure to physical threats (e.g., on-site hardware failures) and leverages provider expertise to patch vulnerabilities faster.
Improved Backup and Disaster Recovery	Automatic, off-site backups with high availability and redundancy.	Critical for ransomware recovery; enables quick restoration without data loss, aligning with the 3-2-1 backup rule.
Scalability and Automatic Updates	Resources scale on demand, with providers handling OS and application updates.	Eliminates delays in patching that plague on-prem systems, reducing exploit windows.
Cost Savings and Efficiency	Shift from capital expenses (hardware) to operational ones, with potential 20-30% reductions in IT costs over time.	Frees up budgets for other security investments; easier for resource-strapped cities.
Better Compliance and Monitoring	Built-in logging, auditing, and AI-driven threat intelligence.	Helps meet standards like NIST or HIPAA, with centralized visibility into threats.

Apex Technology Management, LLC

Apex Technology Management, LLC (Apex) serves as the City’s “IT Department.” Apex provides comprehensive managed services including but not limited to network and system administration, security monitoring, on-site and remote help desk, procurement, backup and recovery operations, database administration, hardware lifecycle management, and project management. Apex supports the City’s operations at seven facilities, which include: City Hall/Police Department, Corporation Yard, Fire Department, Library, Parks & Recreation Building, Water Treatment Plant, and Wastewater Treatment Plant. Apex support started in July 2025. Support includes 2 full days of an onsite technician and the rest is remote work support. Since its start date, Apex self describes: “we have been plugging a lot of security holes...we are working on infrastructure.”

The use of an outsider service provider to serve as an “IT Department” for small municipalities is common due to cost constraints and overall small scale of IT needs. However, caution is needed to ensure that pricing and service scope is reasonable. Without an IT professional on-staff for the City, there is an information asymmetry that can lead to the City being misled. We have seen no indications of this with Apex, but it is a general and significant concern with this type of management structure.

Server Locations and RIMS

The City currently has on-premise servers that are approaching end of life. Further, the City is renting a data center from a previous provider at a cost of \$2,700 per month. The City is planning to move entirely to a cloud solution (e.g. Azure); however, the issue is RIMS by Sun Ridge Systems. RIMS is used by the Police Department (i.e. RIMS Mapping, PropRoom, Reports, Mobile RIMS), and it does not support cloud solutions. Apex could deploy RIMS to a cloud server, but Sun Ridge Systems has stated that it will not provide support for cloud-based solutions. Sun Ridge Systems only supports on-premise servers. This creates an obvious issue for the City’s plan to move to a 100% cloud-based environment.

RIMS Overview: RIMS is specialized software tailored for law enforcement agencies, handling records management, evidence tracking, chain-of-custody logs, and integration with other public safety tools like CAD (Computer-Aided Dispatch). It's built for police departments to organize and access high volumes of sensitive data efficiently. Sun Ridge's documentation explicitly describes installation on agency servers (e.g., a quick one-day server setup, followed by client installs on PCs and mobiles). Their technical specs recommend dedicated on-site hardware, such as a separate database and application server for larger agencies. Support is 24/7 for emergencies but tied to on-prem environments—no mentions of AWS, Azure, or any cloud migration paths.

We recommend that the City continue with its plan to be 100% cloud-based. There are alternatives to Sun Ridge that are 100% cloud-based. The City should explore replacing Sun Ridge with an alternative that matches the City’s strategy. We provide some initial considerations in Table 1 as a starting point. When evaluating, consider factors like CJIS compliance, integration with existing tools (e.g., Sun Ridge's supported integrations like Accurint or ARIES), and migration support. Many offer demos or trials. For St. Helena's scale, start with eFORCE or NicheRMS, as they're praised for ease of use in small departments.

Table 1: Sun Ridge Alternatives

CJIS Compliance: All listed solutions meet FBI CJIS standards, critical for law enforcement data security.

Solution	Provider	Deployment	Key Features	Why a Good Alternative to RIMS
NicheRMS	Niche Technology	Fully cloud-engineered, mobile-first	Investigation/crime management, incident reporting, custody management, intelligence tracking, property/evidence, NIBRS/UCR compliance, AI analytics, unlimited users	Matches RIMS' case, warrant, citation, and inmate tracking; adds real-time syncing and mobile access for field officers
eFORCE RMS	eFORCE Software	Cloud and web-based, browser/device-agnostic	Records management, CAD integration, jail management, e-citations, civil process, mobile apps, customizable reporting, evidence logging	Mirrors RIMS' citations, civil services, and inmate management; user-friendly for small departments like St. Helena

Table 1: Sun Ridge Alternatives

CJIS Compliance: All listed solutions meet FBI CJIS standards, critical for law enforcement data security.

Solution	Provider	Deployment	Key Features	Why a Good Alternative to RIMS
CentralSquare Records	CentralSquare Technologies	Cloud-based, part of Public Safety Suite	Unified incident reporting, digital evidence, CAD integration, automated workflows, finance/community integration, NIBRS reporting	Covers RIMS' data organization needs with enhanced interoperability and AI-driven data retrieval
Mark43 RMS	Mark43	Fully cloud-native	Case/incident management, evidence tracking, warrant/citation handling, analytics dashboards, mobile access, CAD/JMS integration	Replicates RIMS' records and vehicle/person tracking; modern design with zero-downtime updates
ASPEN-RMS	DataWorks Plus	Web-based (cloud-deployable)	Customizable UI, CAD/JMS integration, state/federal interfaces, crime analysis, civil processing, enhanced reporting	Matches RIMS' civil services and case management; cloud access enables remote operations
Phoenix Law RMS	ProPhoenix	100% browser-based (cloud)	Duplicate detection, error checking, records/inventory/personnel management, report generation, crime analysis, mug shots	Aligns with RIMS' comprehensive records management; cloud reduces data duplication and scales easily
BEAGLE	WATI	Hybrid (cloud and on-premise options)	Crime data analysis, investigation management, reporting, visualization tools	Complements RIMS' investigation and case features; cloud option supports transition from on-prem

AI Platforms

The City has a large opportunity to improve efficiencies and effectiveness with AI tools and AI agents. The City Manager reported that the City has been exploring these tools, but they have not yet made any purchases or strategic plans for their usage. AI tools (e.g., software for data analysis, automation, and chatbots) and AI agents (autonomous systems that perform tasks independently, like "agentic AI") could significantly enhance city management by boosting efficiency, reducing costs, and improving resident engagement. Based on 2025 trends, AI adoption in local governments has surged, with 56% of cities piloting or using it to upgrade operations and services. Below, we provide a couple of examples of how St. Helena could use AI, drawing from recent studies and case studies relevant to small municipalities.

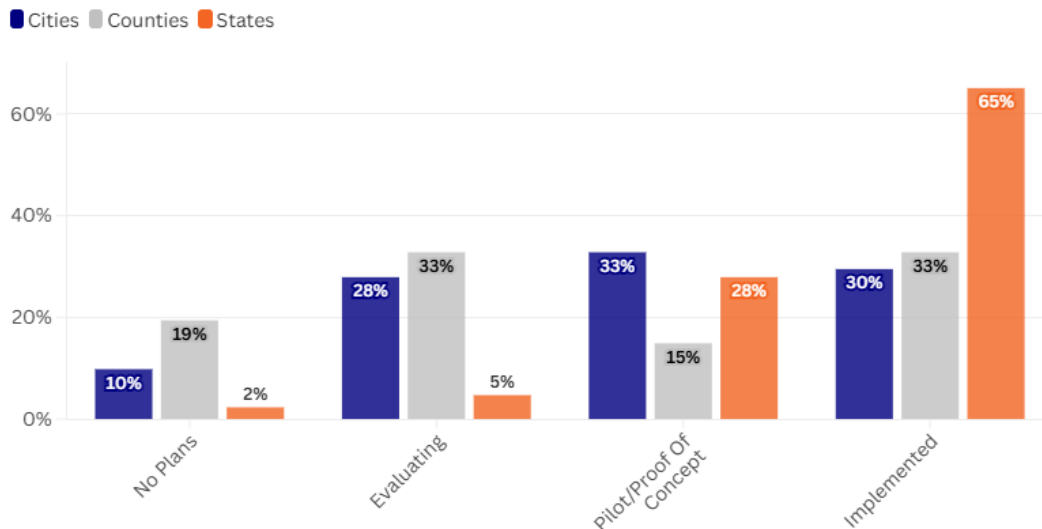
1. Enhancing Administrative Efficiency and Workflow Automation

AI tools can automate routine tasks, freeing staff for higher-value work. For St. Helena, this could mean streamlining permit processing, document management, or public records handling—areas highlighted in its efficiency studies (from uploaded documents like "City of Helena Efficiency and Business Transformation Study.pdf").

- **Impact:** Agentic AI (e.g., autonomous agents) could handle 24/7 citizen inquiries via chatbots, reducing backlogs and response times by up to 50% in similar small cities. Generative AI might draft reports or suggest clearer structures for budget documents, accelerating processes like those in the "Draft Budget 26-27 cut.pdf."
- **Case Study:** In a small Kentucky city (similar size to St. Helena), officials implemented low-cost large language models (LLMs) for under \$200 to automate resident queries and internal workflows, proving AI is accessible even on tight budgets. Small towns are also using AI to automate routine tasks, saving millions while transforming public services. (<https://www.govtech.com/biz/data/llm-on-a-budget-how-small-cities-are-leveraging-ai>)

Conversational Agents in the Public Sector Implementation Status

According to the results of 2024 Center for Digital Government surveys, states are at the forefront of conversational agent implementation, while cities are showing strong interest and counties are gradually catching up.



Source: Center for Digital Government 2024 Surveys • Created Nov. 11, 2024. Visualization by Nikki Davidson.

Figure 21 – Conversational Agents Benchmarks

2. Improving Budgeting and Financial Management

AI excels at data-driven forecasting, which could help St. Helena optimize its fiscal planning amid constraints seen in budget documents.

- **Impact:** AI tools analyze large datasets for better decision-making, predicting budget shortfalls or optimizing resource allocation. AI agents could detect fraud in claims processing or procurement, potentially cutting costs by 20-30% through efficiency gains.
- **Case Study:** AI has optimized workflows in state and local governments, similar to how St. Helena could use it for multi-year budgeting. (<https://www.munitemps.com/2025/09/03/how-small-cities-are-winning-with-local-government-innovation-like-a-i/>)

AI for Public Works

AI can transform public works by automating routine tasks, optimizing resources, and enabling predictive decision-making. For St. Helena, this could mean more efficient utilities management and reduced costs in areas like water treatment or road maintenance. Potential impacts include:

- **Predictive Maintenance and Infrastructure Optimization:** AI analyzes sensor data to forecast failures in roads, pipes, or equipment, preventing costly breakdowns. Impact: Reduces downtime by 20-30% and extends asset life, saving on repairs—critical for St. Helena's wastewater and water systems. (<https://www.apwa.org/resource/ai-case-studies-in-sewer-inspection-and-pavement-assessment/>)
- **Efficient Resource Allocation and Service Requests:** AI-powered chatbots and systems handle citizen reports (e.g., potholes, leaks) 24/7, routing them automatically. Impact: Speeds response times by 40-50%, cuts administrative workload, and improves resident satisfaction in small towns with limited staff. (<https://www.govtech.com/artificial-intelligence/california-cities-turn-to-ai-to-help-manage-public-works>)
- **Environmental and Sustainability Enhancements:** AI models water usage or stormwater patterns to minimize waste and pollution. Impact: Lowers energy costs by 15-25% and supports compliance with CA regulations, aligning with St. Helena's floodplain and tree protection efforts. (<https://clerkminutes.com/blog/challenges-opportunities-of-ai>)

[implementing-ai-in-local-government-operations](#)) and (<https://cpex.org/news/from-algorithms-to-action-ais-role-in-shaping-tomorrows-communities/>)

Overall, AI could cut operational costs by 10-20% while boosting efficiency, per APWA studies, ideal for St. Helena's budget-constrained environment. (<https://www.apwa.org/resource/the-future-of-public-works-best-practices-for-ai-utilization/>) and (<https://www.smartcitiesdive.com/news/4-ways-local-governments-harnessing-ai-transform-operations/739931/>)

5.2.10. Awareness

When we discuss “awareness,” we do not mean strategic communications or external communications. We mean awareness in the sense that mid-level and executive level management know what is happening across the City, Departments, and Divisions. A common tool for achieving and maintaining a high level of awareness is a dashboard, specifically, an executive and/or enterprise dashboard. Other sources of awareness come from program management reports, weekly and monthly activities reports (i.e. KPIs), accounting and financial reports, performance audits, surveys, and quantitative and qualitative information generated from SaaS subscriptions. Most of these items can be included in the dashboards as well.

The City has made some progress with implementing SaaS solutions in multiple Departments. Also, the Grapevine tool has helped with residents reporting requests and tracking those requests. Further, there are surveys and weekly/monthly reporting. However, there are still severe weaknesses. Most Departments have no KPIs or a very minimal amount that arguably are not actual KPIs. There is minimal tracking of projects and programs. Further, the City is far from using the full potential of tracking, reporting, and dashboarding tools that are available with the SaaS solutions. Finally, there are no financial ratios that we could find, and the accounting and budgeting reports are overly complex with flows between accounts that are extremely difficult to track.

Critical Concerns: While there is some information available to support awareness, we have found a severe lack of making connections between data generated by different Departments. For example, Public Works reports 45 miles of “water system”; however, there is no corresponding “sinking fund” to replace the pipes. Further, we could find no evidence of any information available that identifies pipe replacement life, inspections conducted, or locations of pipe with corresponding age. Likewise, there appears to be no procurement efforts (e.g. Requests for Information (RFI)) to try to identify market rates to replace the pipe to support future planning.

Second, although we note that the City is spending \$2,829 per year on Microsoft Project, there appears to be a lack of awareness about what is happening with projects across the City. For context, Microsoft Project costs \$360/user/year. This means that the City should have approximately 8 licenses in use, but we found no evidence of the software being used effectively. For example, the City could use Microsoft Power BI to connect to its Microsoft Project to generate portfolio level dashboards, but we found no evidence of this (See Figure 22 example dashboard).

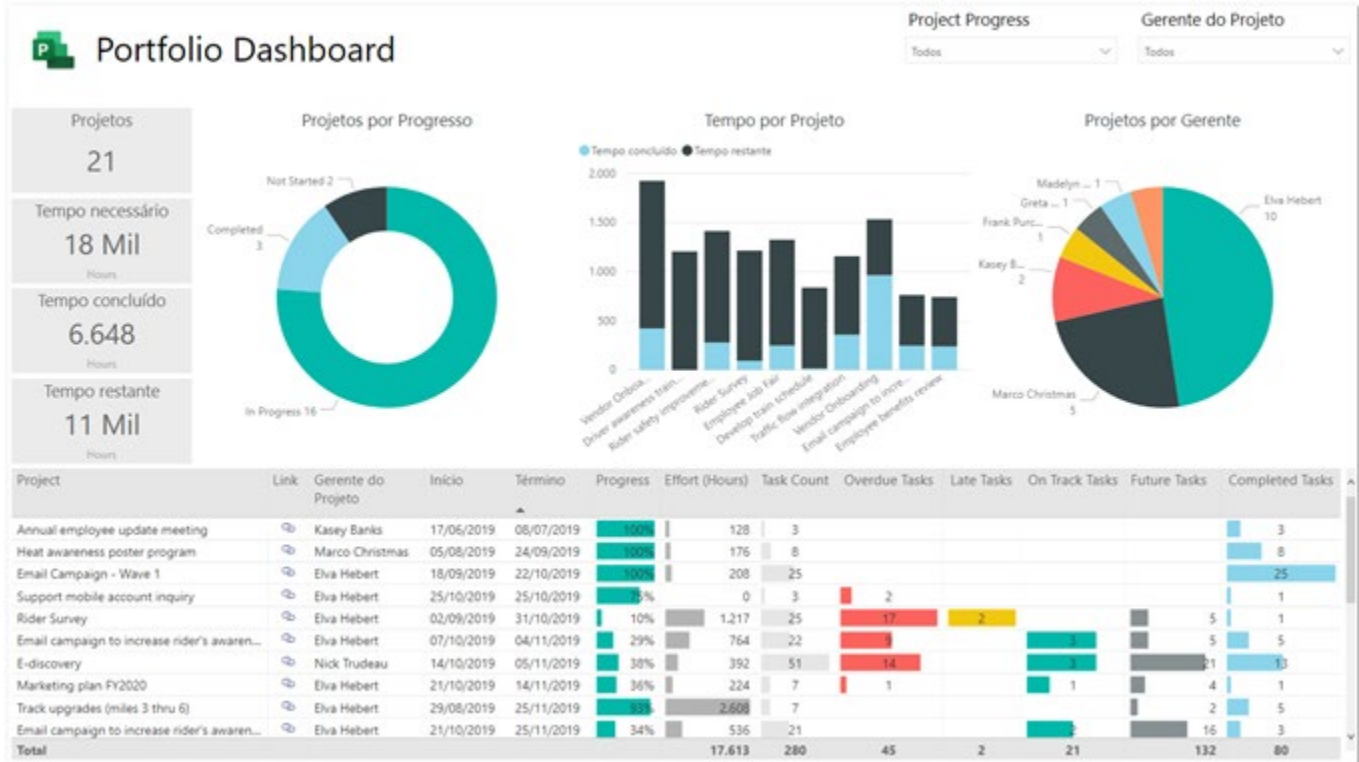


Figure 22 – Example Portfolio Dashboard

5.2.11. Customers

Blackberg spoke to St. Helena residents by phone; reviewed Godbe Research (Godbe) survey results; and spoke with City employees about conversations that they have had with residents. First, we briefly revisit the Godbe findings that were presented to the City Council on March 25, 2025.

Godbe conducted the survey between January 6 and 19, 2025. They captured input from 285 individuals and reported a margin of error of +/- 5.62%. In their presentation, they also reference the survey that they conducted for the City in 2022. The 2022 survey covered the same questions, which gives us some time series data to explore. Across years, water quality remains the top issue. Affordable housing and road repairs/potholes/infrastructure remain in the top 3 issues. Concern about the City budget has grown considerably from 2022 and is now rated 4th in 2025. Other top concerns in 2025 include tourism/revenue, cost of living, water costs, and jobs/wages.

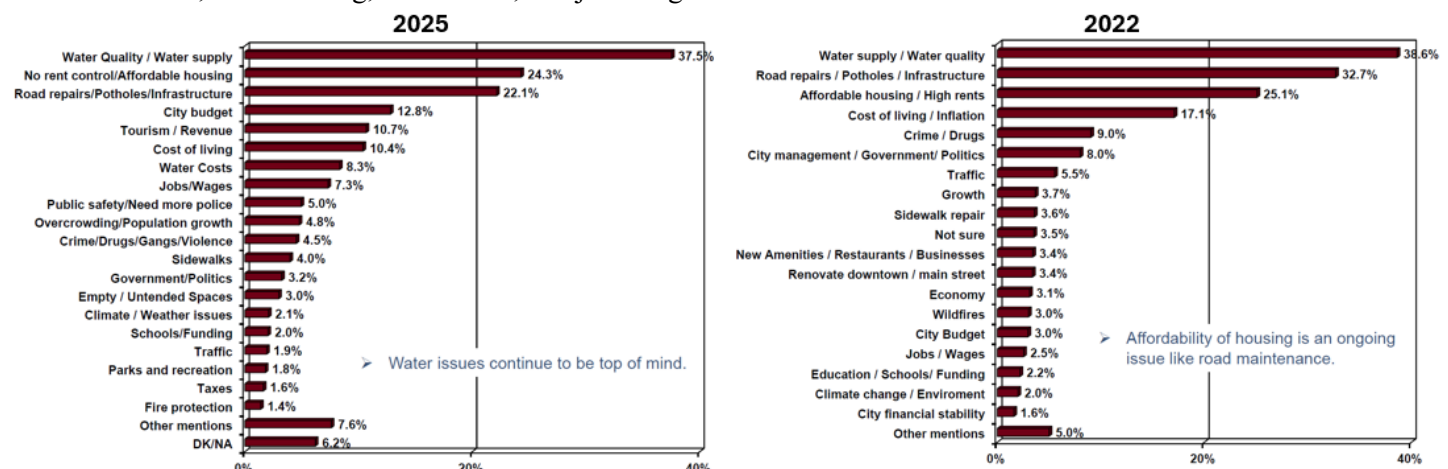


Figure 23 – Godbe Survey Results for Top Issues Facing the City

The Godbe survey also identified “Importance of City Services, Programs and Facilities.” The results are shown in Figure 24. Water quality is the highest rated followed by fire protection and street and road maintenance. The lowest rated items are street sweeping; addressing diversity, equity, and inclusion; and traffic on neighborhood streets.

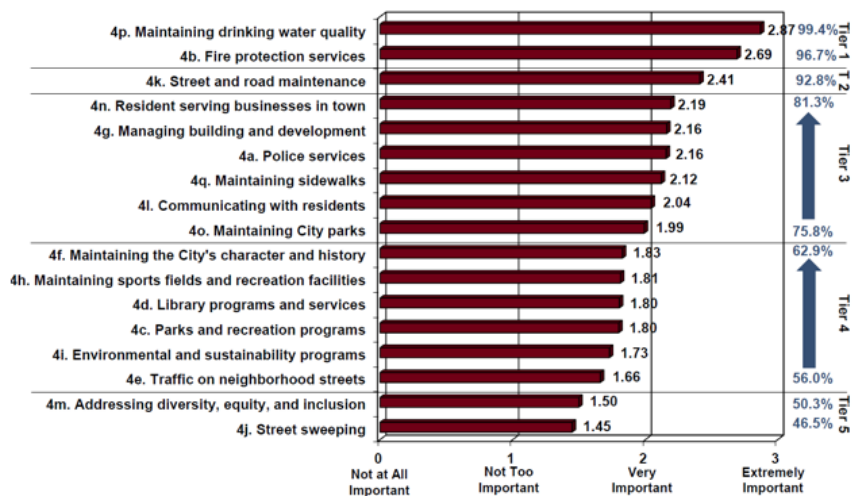
Godbe also surveyed “Satisfaction with City Services, Programs, and Facilities” (See Figure 24). The highest rated areas are fire protection, library, police, and parks and recreation programs. The lowest rated areas are water quality, street and road maintenance, managing building and development, and maintaining sidewalks.

Blackberg’s interviews with residents and City employees told a similar story. However, we did hear individuals stress some other areas related to the survey results. Individuals cited problems with drinking water, roads, sidewalks, and affordable housing. They also identified that the City is not successfully engaging with the tourist industry and capturing revenues from the millions of tourists that move through the City each year.

In our conversations, individuals expanded upon these concerns and expressed that they have no trust in the City government nor in its executive managers. Notable exceptions were the Fire Department, Police Department, and Library. They mentioned significant concerns with City executive managers and provided examples of direct communications (verbal) with executive managers in which they described responses from the executive manager as being “unprofessional, rude, and insulting.” Individuals expanded upon their lack of trust and dissatisfaction with City executive managers by providing other specific examples. These examples include: “1) It took six years to replace a road sign that I notified the City about multiple times per year; 2) The City is in crisis with budget, water, roads and infrastructure and a lot of other things, but I have never seen a plan to fix any of it; 3) I’ve had multiple times when residents asked me to contact the City because the City was not responding to them. Even when I contacted the appropriate Department, I didn’t hear back and had to keep calling different individuals; and 4) I spoke to City workers that didn’t seem to be doing anything. I asked them what they were doing that day, and they said that they didn’t have any assignments...”. These are just some of the responses that we received during conversations with City residents and City employees.

As we examine these responses, it is very difficult to separate subjective perspectives from objective realities. We do not doubt that there is a great deal of resident dissatisfaction that centers on water, roads, sidewalks, and development. However, it is impossible to quantitatively identify how severe those concerns are because the City has no quantitative data available (e.g. number of days of brown water; square footage of sidewalk needing repair or replacement; lane-miles of road needing repair or replacement; etc.). Because there is no quantification of the problem, there can be no satisfactory communication of the problem to residents. There is no strategic plan, so the ability to communicate solutions and timelines for addressing

2025 Importance of City Services, Programs and Facilities



2025 Satisfaction with City Services, Programs, and Facilities

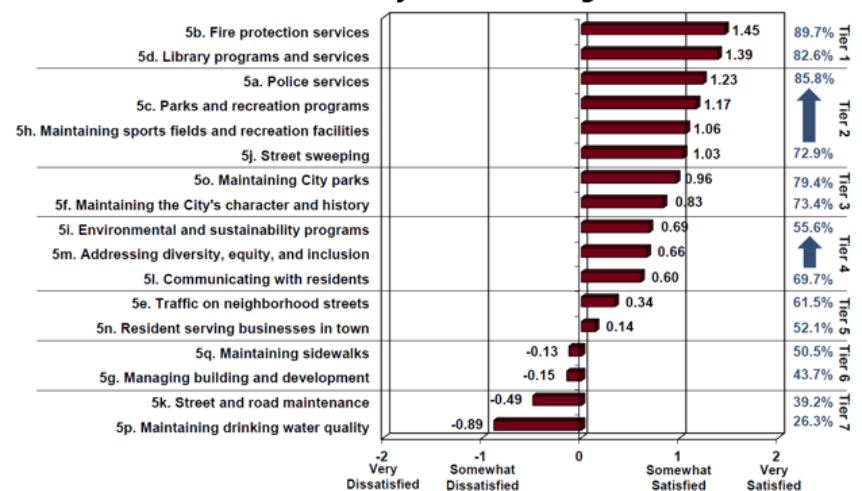


Figure 24 – Godbe Survey on Importance & Satisfaction

the problems (even if we did know how significant they are) is impossible. Therefore, residents are left seeing the problems, have no information from the City about their magnitude, begin to speculate, and then have no strategic plan to affirm the City is doing something about the problems that “makes sense.” We emphasize the phrase “makes sense” because we heard this phrase many times within the context of the City’s lack of any comprehensive plan: “what they are doing doesn’t make sense; I wish we had something that just made sense; the City needs a plan that makes sense of how they are going to fix all these problems; I don’t think what they are doing makes sense because it is so piecemeal...etc.” Clearly, the residents’ lack of trust in the City government is rooted in these issues.

5.2.12. Communications

We bifurcate communications into “external communications” and “internal communications.” External communications include any communications outside of the City government staff. Internal communications are all communications between government staff.

External Communications. There are two broad categories of external communications relevant for St. Helena: 1) external communication targeting residents and nearby stakeholders, and 2) external communications targeting tourists and other visitors (e.g. investors). For this study, we focus on external communications with St. Helena residents and nearby stakeholders.

The City maintains an extensive website that includes moderately sophisticated tools: Grapevine; resident portal with live streams, public record requests, subscriptions, archived video, schedule of meetings, etc.; utility billing; career pages; registrations for parks and recreation; and various reports.

The City also communicates through newsletters and social media. The City publishes newsletters biweekly, and the newsletters contain an appropriate amount of information, including: general community news, latest updates, events and notifications, and city council meeting items. The City also publishes social media with clear customization to the platform to align messaging with user type engagement. For example, LinkedIn publications are clearly targeting residents; whereas, X publications have a government account for residents and a separate account targeting tourists. We did note that the City’s website is advertising multiple jobs for recruiting, yet its LinkedIn account shows “There are no jobs right now.”

Our main concern with external communications centers on the lack of communication content that addresses the residents’ biggest issues: water quality, streets and roads, sidewalks, infrastructure, affordable housing, and City budget. The problems are relatively undefined and not communicated in terms of magnitude and what the City is doing to fix them.

Internal Communications. Internal communications appear strongest at the Department or Division level. Given the small size of Departments, it is relatively easy to manage internal communications through simple weekly/monthly status meetings and other informal discussions. However, there is a clear lack of “big picture” type communications from the City Manager’s Office and interdepartmental communications.

Critical Concern. The most concerning aspect of internal communications is the lack of “change management” oriented communications. In change management, key communications include clear announcements about the change’s purpose, timeline, and impact-like emails or all-hands meetings with leadership to set expectations. Regular updates via email, newsletters, or dashboards help maintain awareness of status. Leadership should place emphasis on transparency, listening to feedback, and repeating the rationale for change to develop buy-in. Leadership demonstrating consistency and empathy are also important elements. Blackberg has heard from multiple individuals that City executive managers are demonstrating the opposite of these practices.

Communications Model. Our main concern is the City’s lack of a communications model for both internal and external communications. Clearly, the City spends much time and effort developing strong “content assets” (e.g. newsletters, social media posts, website announcements, etc.). However, there is a lack of sophistication to the overall management of communications. The absence of a communications model is one indication, but importantly, it is the lack of many elements

Stay Connected

-  Facebook
-  Instagram
-  Threads
-  X
-  Nextdoor
-  LinkedIn
-  YouTube
-  City Newsletter

that you would find in such a model that is most problematic. These missing elements include purposeful thinking, planning, and actions for: strategy and insights, customer experience & personalization, measurement of impact or engagement, and using optimal data and technology. Given the size of St. Helena, a communications model does not need to be extremely sophisticated; however, there may be benefits to leaning toward higher levels of sophistication in the areas of targeting tourism. If the City elected to increase tourism communications, it should be coupled with a larger strategic effort by the City to engage tourists and develop clear paths to increasing revenues from tourist visits.

5.2.13. Processes

The review of the City of St. Helena's business processes, supporting documentation, and departmental management practices indicates that the organization is still in the early stages of developing a formalized Business Process Management System (BPMS). While the City's workforce demonstrates a strong commitment to public service and a clear understanding of their functional responsibilities, most core and support processes remain largely informal, person-dependent, and reactive to operational needs rather than structured or measured through standard management systems.

5.2.13.1. Business Process Management System (BPMS) Maturity

The assessment used a maturity framework based on Capability Maturity Model Integration (CMMI) principles and included six key dimensions: Process Ownership, Documentation and Standardization, Process Controls, Measurement and Performance Management, Cross-Department Integration, and Continuous Improvement and Innovation.

Across these dimensions, most departments were observed to be functioning at Level 1 (Initial / Ad Hoc) or Level 2 (Repeatable / Defined) maturity. In practical terms, this means that many processes depend on the institutional knowledge of long-tenured staff rather than documented systems, and that procedures are often recreated as needs arise rather than guided by written standard operating procedures or shared process maps.

Some divisions, particularly Finance and Community Development, show elements of greater maturity - including defined workflows, use of digital forms or permitting systems, and limited data tracking - but even these remain isolated rather than integrated across the enterprise. The lack of consistent documentation and standardized controls limit transparency, cross-training, and the ability to measure performance or allocate resources objectively.

Documentation review also found that while departmental staff can clearly describe their responsibilities, there is limited evidence of structured process design at the Level 3–5 tiers of maturity (detailed process mapping, Swimlanes, and SOPs). Existing materials are often task lists or procedural notes rather than process-level representations that define inputs, outputs, and interdependencies. As a result, opportunities to identify redundancies, clarify hand-offs, or assess efficiency are difficult to visualize.

5.2.13.2. Continuous Improvement (CI) Capability

At present, the city does not have a formalized Continuous Improvement (CI) structure or program. Improvement efforts are generally reactive — focused on resolving immediate issues rather than systematically analyzing root causes or measuring process performance over time. There is no dedicated framework such as Lean, Six Sigma, or similar methodologies currently in use, nor are staff trained or supported in using structured process improvement tools.

While several supervisors and managers informally encourage problem-solving and incremental improvement, these efforts occur independently within departments and are not connected through a coordinated management system. Likewise, there is no evidence of a Daily Management System (DMS) using readiness boards such as MESS (Methods, Equipment, Supply, Staffing) or of consistent tiered huddles where performance, safety, and resource issues are reviewed and escalated.

This absence of formal CI infrastructure limits the City's ability to identify systemic trends, manage performance visually, or reinforce learning across departments. It also constrains the development of a performance culture that relies on data and shared accountability rather than individual initiatives.

5.2.13.3. Organizational Context and Direction

The City's small size and resource constraints are important context for interpreting these observations. The organization has many of the attributes of a Level 1–2 maturity municipality: strong individual dedication, informal collaboration, and a practical understanding of service needs, but lacking the formal systems, data infrastructure, and governance mechanisms that characterize higher levels of process maturity.

The absence of structured process ownership, measurement, and continuous improvement systems should not be viewed as a deficiency but rather as a developmental stage. Many smaller jurisdictions begin in a similar state before adopting scaled, lightweight forms of operational excellence suited to their staffing and workload.

The direction suggested by this assessment — though not yet formally adopted — is toward a pragmatic Operational Excellence model: building foundational process documentation and ownership, introducing routine measurement and MESS-board-based daily management practices, and gradually cultivating a culture of data-driven problem-solving and shared accountability.

5.2.13.4. Overall Insight

In summary, the City of St. Helena's business process environment reflects early-stage maturity with limited standardization and no formal continuous improvement framework. However, it possesses the essential ingredients for growth: engaged leadership, experienced personnel, and a clear desire to improve service delivery. Establishing a basic Business Process Management and Continuous Improvement structure will enable the City to evolve from reactive management toward proactive, transparent, and performance-based operations over time.

5.2.13.5. Business Process Management and Continuous Improvement

A. Introduction

Business Process Management (BPM) is a systematic approach to improving how a city delivers services to its residents, businesses, and internal customers. By connecting the city's service portfolio to daily operations, BPM helps leaders identify where time, cost, and risk accumulate. This approach translates technical process analysis into meaningful outcomes, such as faster permit processing, reliable street repairs, clean water, efficient fee collection, and compliance with statutory timelines.

BPM involves light-touch scoping, evidence-based measurement, and targeted improvements, with governance playing a vital role. The expected benefits include reduced rework, lower costs, improved customer satisfaction, and a clear, auditable trail for policy and budget decisions.

For municipalities like the City of St. Helena, a Business Process Management System (BPMS) provides the structure, tools, and practices needed to enhance service delivery. A BPMS offers visibility into processes across departments, clarifies accountability, and supports continuous improvement. This ensures effective resource use, efficient staff operations, and timely, transparent, and responsive services for residents. Adopting a BPMS aligns processes with strategic goals, improves interdepartmental coordination, and helps the city adapt to regulatory changes, financial constraints, and evolving community expectations.

Purpose of the BPMS

- Establish a centralized approach to documenting, analyzing, and improving city processes.
- Provide a repository of process information accessible across departments.
- Enable data-driven decision making through measurement of process performance.
- Support staff training and onboarding by standardizing work methods.
- Improve service delivery outcomes for residents and stakeholders.

Benefits for the City of St. Helena

- **Transparency:** Residents and businesses better understand service timelines and requirements.
- **Efficiency:** Reduced rework and delays by clarifying roles and eliminating redundancies.
- **Adaptability:** Easier integration of innovative technologies, regulations, or staffing changes.
- **Employee Support:** Staff gain confidence through consistent methods and clear escalation paths.

- **Strategic Alignment:** Processes are tied directly to city goals and community priorities.

Suggested Next Steps

- Finalize the process inventory across selected city departments to level 3.
- Prioritize high-impact processes for mapping.
- Establish or Assign governance structures (steering committee, process owners, champions).
- Develop a repository solution (SharePoint).
- Implement BPM and a Daily Management System within a designated division or department on a pilot basis.

B. Business Process Maturity Assessment

This checklist is designed to help assess the maturity of City of St. Helena processes using the CMMI-based framework. Rate each process from Level 1 (Initial/Ad hoc) to Level 5 (Optimizing), based on observable criteria.

Process Ownership

- 1 – No clear owner; responsibility assumed but not explicit.
- 2 – Owner identified for major processes, but not all.
- 3 – All processes have assigned owners; responsibilities documented.
- 4 – Owners monitor performance data and initiate corrective actions.
- 5 – Owners lead proactive innovation and continuous improvement cycles.

Documentation & Standardization

- 1 – Informal or tribal knowledge; no formal documentation.
- 2 – Some processes documented, but incomplete.
- 3 – Standard documentation exists citywide. Documentation validation to “As-Is.”
- 4 – Documentation integrated with metrics and updated regularly.
- 5 – Automated workflows/digital tools enforce standardized steps.

Process Controls

- 1 – Controls applied inconsistently or reactively.
- 2 – Basic control points defined (signoffs, review steps).
- 3 – Standard control policies applied across departments.
- 4 – Control effectiveness measured (error rates, compliance tracking).
- 5 – Controls optimized/automated, continuous risk reduction.

Measurement & Performance Management

- 1 – No metrics; success based on individual effort.
- 2 – Basic measures tracked (timeliness, completion counts).
- 3 – Common KPIs defined and tracked.
- 4 – Statistical techniques applied to analyze trends.
- 5 – Predictive analytics and benchmarking used.

Cross Department Integration

- 1 – Processes siloed, unclear handoffs.
- 2 – Some processes mapped between departments.
- 3 – Cross-functional processes formally mapped.
- 4 – Data shared; bottlenecks monitored.
- 5 – Seamless integration; coordinated system.

Continuous Improvement & Innovation

- 1 – No formal improvement activities; reactive problem-solving only.
- 2 – Occasional improvement projects, but not systematic.
- 3 – Defined CI program; lessons learned shared.
- 4 – Data-driven improvements tested and scaled.

5 – CI embedded in culture, proactive innovation.

Business process maturity was assessed in the Public Works, Administrative Services, and Community Development divisions. After consultations with Division Leadership, examination of existing process documentation, and analysis from the current state assessment, the following ratings were assigned (See Figure 25).

Departments & Divisions	Process Ownership	Documentation & Standardization	Process Controls	Measurement and Performance Management	Cross Department integration	Continuous Improvement & Innovation
PW – Service Delivery	2	2	1	1	1	1
PW – Development Services	2	2	1	1	1	1
PW – Capital Projects Delivery	2	2	1	1	1	1
Community Development	2	2	2	2	2	2
Admin Services - Finance	2	2	2	1	2	2

Figure 25 – Business Process Maturity

Business Process Maturity Assessment Insights

The following insights summarize key themes emerging from the City’s initial maturity assessment across five divisions—Public Works (Service Delivery, Development Services, Capital Projects), Community Development, and Administrative Services – Finance. Each observation reflects the City’s current level of capability within six foundational dimensions of business process maturity, based on the CMMI framework.

1. Process Ownership

Process ownership across departments is largely informal and role-based rather than explicitly defined. While staff can describe who performs specific tasks, few processes have a clearly identified “owner” responsible for ensuring effectiveness, compliance, and improvement. This lack of explicit accountability is most visible in cross-functional workflows such as permitting and capital project approvals, where responsibilities blur across departments.

Implications:

Without defined ownership, improvement efforts depend heavily on institutional memory and individual initiative. This limits continuity, scalability, and accountability when roles change, or turnover occurs.

Recommendations:

Formalize process ownership within each department’s process inventory. Assign accountable individuals for each key process and document them in governance records. Integrate ownership into position descriptions, performance objectives, and departmental reporting.

2. Documentation and Standardization

Process documentation remains inconsistent, incomplete, and primarily informal. While some procedures exist, especially within Community Development and Finance, most Public Works activities rely on verbal communication, spreadsheets, and legacy templates. Documentation seldom reflects the actual “as-is” workflow practiced by frontline staff.

Implications:

Inconsistent documentation increases rework, hampers staff training, and undermines standardization efforts. It also constrains the City’s ability to evaluate performance objectively or adopt automation technologies.

Recommendations:

Prioritize documentation of high-volume, resident-facing processes using simple templates such as SIPOC or mini-maps.

Validate each documented process with subject-matter experts to ensure it represents the true “as-is” state. Develop a centralized, searchable repository accessible across departments.

3. Process Controls

Existing controls are primarily manual and reactive, focused on supervisory review after problems occur. Few processes include formal checkpoints, approval steps, or quality criteria. Exceptions exist in Finance and Community Development, where external audit or regulatory compliance requires structured oversight.

Implications:

The absence of preventive controls exposes the City to operational and compliance risks—ranging from service delays and cost overruns to inconsistent application of policies.

Recommendations:

Introduce defined control points such as approvals, verifications, and quality reviews within each major workflow. Establish standardized review templates or checklists for recurring activities. Over time, transition these controls into automated validations within future workflow systems.

4. Measurement and Performance Management

Performance measurement is at an early stage, focusing mainly on activity counts (permits issued, projects completed) rather than outcomes. Metrics are inconsistent across divisions and are not yet tied to service levels, timeliness, or resident satisfaction.

Implications:

Without reliable metrics, the city cannot evaluate efficiency or communicate improvements to stakeholders. Decision-making remains qualitative and dependent on anecdotal evidence.

Recommendations:

Define a concise set of key performance indicators (KPIs) for each department, such as turnaround time, accuracy, and backlog. Establish baseline measures to track progress over time. Integrate metrics into regular management meetings and dashboards as the BPMS evolves.

5. Cross Department Integration

Processes remain departmentally siloed, with limited formal coordination among Public Works, Community Development, and Finance. Interactions rely heavily on personal communication rather than standardized handoffs or shared data systems.

Implications:

Siloed operations create bottlenecks, duplicate data entry, and inconsistent resident experiences. They also slow project approvals and reduce overall service transparency.

Recommendations:

Map end-to-end value streams that cut across departments, such as Development-to-Occupancy or Capital Project Lifecycle. Identify and document interdepartmental dependencies, shared information needs, and approval pathways. Pilot integrated workflows that align on shared objectives and performance indicators.

6. Continuous Improvement and Innovation

Continuous improvement is largely reactive and episodic, driven by immediate operational issues rather than by a structured management framework. Staff demonstrate willingness to innovate but lack standardized methods, coaching, or governance mechanisms.

Implications:

Without a formal structure for continuous improvement, lessons learned are not captured or shared, and progress depends on individual champions rather than institutional commitment.

Recommendations:

Establish a lightweight Continuous Improvement (CI) framework, beginning with departmental CI champions. Introduce basic Lean and problem-solving tools and incorporate them into existing staff meetings. Create a citywide improvement log or forum to share outcomes, recognize contributions, and build a culture of learning.

Overall Observation

The assessment indicates that most City processes are operating at Level 1–2 (Initial to Managed) maturity. This means individual performance and institutional knowledge drive service delivery more than standardized systems or governance. The City of St. Helena is well positioned to advance maturity by formalizing ownership, documenting processes, introducing foundational controls, and linking performance measurement to strategic goals.

C. Business Process Framework (Levels 1-5)

The City of St. Helena’s Business Process Framework establishes a structured hierarchy for documenting, analyzing, and improving processes across all departments. The framework provides a common language for describing how the city creates, enables, and sustains value for its residents and stakeholders. It ensures that strategic goals at the citywide level can be translated into daily operational practices that are measurable, repeatable, and continuously improved.

The framework is organized into five levels of process definition. Each level represents a distinct perspective—from enterprise value creation at the highest level to individual task execution at the most granular. This tiered structure supports clarity, alignment, and scalability as the city matures its Business Process Management System.

The City’s Business Process Framework describes how operational maturity evolves from strategy to execution. Each level builds upon the previous one, creating a clear structure for process ownership, measurement, and improvement.

Level	Theme	Summary Description
Level 1 – Value Chain / Enterprise View	<i>Strategic Alignment</i>	Defines citywide value-creation and support functions that deliver services to residents and stakeholders.
Level 2 – Core Processes (SIPOCs)	<i>Process Definition</i>	Identifies end-to-end processes, clarifying suppliers, inputs, outputs, and customers.
Level 3 – Sub-Processes / Detailed SIPOCs	<i>Process Detail</i>	Decomposes each Level 2 process into measurable sub-processes and decision points.
Level 4 – Swimlane Process Maps	<i>Decisions & Controls</i>	Use cross-functional diagrams to show roles, responsibilities, and hand-offs across departments.
Level 5 – Standard Operating Procedures (SOPs)	<i>Standardization & Continuous Improvement</i>	Documents repeatable workflows, embeds best practices, and drives accountability and compliance.

Figure 26 – Levels of Process Maturity

Level 1 – Service Portfolio and Value Domains

At the highest level, the City’s Service Portfolio defines how value is created and delivered to residents through its major functional domains. These value domains include Public Works, Community Development, Public Safety, and Administrative and Support Services.

Each domain represents a collection of services that contribute directly to community outcomes such as safe streets, reliable water service, effective permitting, and fiscal stewardship. At this level, the framework focuses on value creation (resident-facing services) and value enabling (support and administrative functions).

Documenting Level 1 establishes the City’s enterprise view - how the organization is structured to meet public expectations and fulfill its mission.

City of St. Helena – Level 1 Service Portfolio (Value Chain Model)

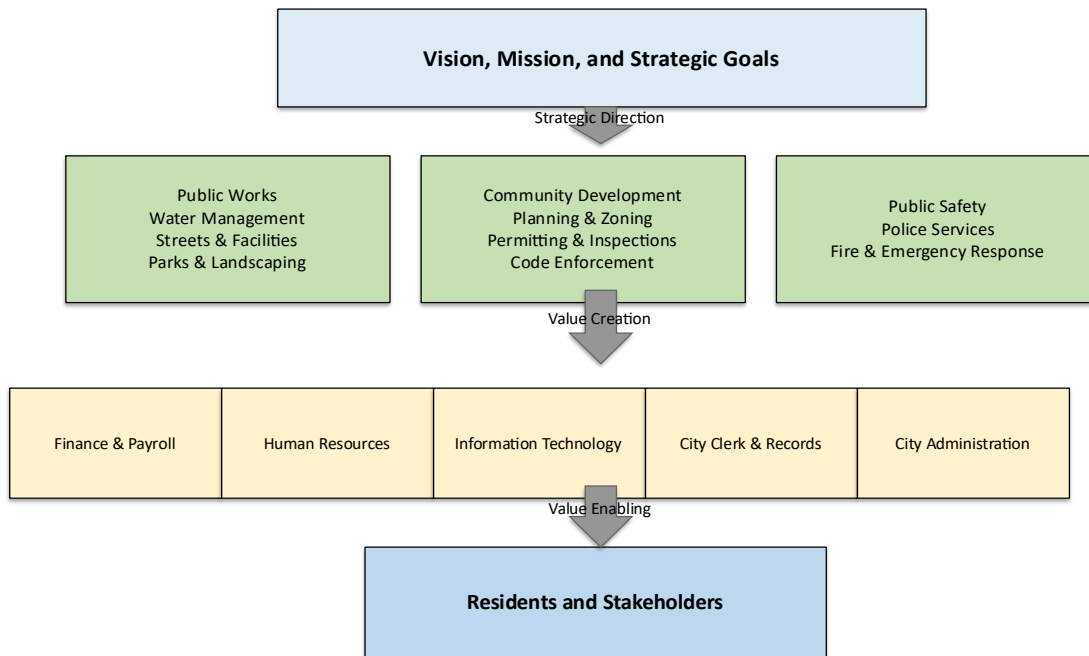


Figure 27 – Level 1 Service Portfolio (Value Chain Model)

Level 2 – End-to-End Business Processes

Level 2 defines the City’s major end-to-end business processes, which typically span multiple departments and require coordination across value domains. These processes represent the horizontal flow of work that connects the City’s functional silos and delivers measurable results for residents.

These processes are documented using SIPOC models (Supplier, Inputs, Process, Outputs, Customer) to clarify who contributes, what resources are required, how work is performed, and what outcomes are produced. SIPOCs serve as the foundation for mapping dependencies, identifying bottlenecks, and defining ownership.

Transition from Level 2 SIPOCs to Levels 3–5 Process Documentation

As the City of St. Helena advances its Business Process Management System, the SIPOCs established at Level 2 provide the foundation for more detailed process documentation and operational standardization. The next step in this progression is Level 3, where each SIPOC expands into detailed sub-process maps that clarify handoffs, decision points, and roles. Level 3 SIPOCs define the “how” behind each core function identified in Level 2 and form the bridge between conceptual understanding and operational execution.

At Level 4, these detailed sub-processes are expressed as Swimlane Process Maps, illustrating the cross-functional flow of work across departments. Each swimlane shows responsibilities by role, timing, and dependencies—making inefficiencies, redundancies, and improvement opportunities visible. These diagrams serve as both diagnostic and training tools, reinforcing transparency and accountability in daily operations.

Finally, Level 5 represents the highest degree of process maturity: fully documented Standard Operating Procedures (SOPs). SOPs provide repeatable, step-by-step guidance, linking each process back to its performance measures and compliance requirements. Together, Levels 3 through 5 complete the city’s end-to-end documentation hierarchy—transforming SIPOC frameworks into actionable workflows, visual management tools, and standardized practices that drive efficiency, consistency, and continuous improvement.

Level 3 – Subprocesses

At Level 3, end-to-end processes are decomposed into departmental subprocesses; the core activities performed within a specific division or unit. Each subprocess has defined inputs and outputs that connect to other subprocesses in the value stream.

For example, within Public Works, subprocesses may include Water Management, Streets and Facilities Maintenance, and Parks and Landscaping. In Finance, subprocesses might cover Accounts Payable, Payroll, and Budget Monitoring.

Level 3 documentation provides enough granularity to identify performance measures, assign process ownership, and establish consistency in service delivery. Each subprocess can be represented through detailed SIPOCs or mini maps that capture key decision points and timing.

Level 4 – Activity and Decision Level

Level 4 represents the activity and decision layer, where detailed process maps illustrate how work moves through functional areas. BPM swim lane diagrams show handoffs between departments, highlight decision points, and surface inefficiencies. No evidence was found of developed or used swim lane process maps, which are essential for identifying waste and enabling improvements.

These maps make dependencies visible and serve as the blueprint for future automation or system integration. As the City's BPM capability matures, Level 4 processes will also inform training, compliance reviews, and service redesign efforts.

Level 5 – Task and Standard Operating Procedure Level

The most detailed layer, Level 5, captures the specific work instructions and job aids needed to perform individual tasks within a process. Although the city has established a procedure for developing standard operating procedures (SOPs), these SOPs have not yet been fully implemented, nor are they consistently reviewed and approved on a regular basis.

SOPs standardize execution, promote safety and quality, and ensure continuity when staff change roles. Each SOP specifies the task purpose, inputs, step-by-step actions, responsible position, and expected outputs.

Establishing this level of detail allows the City to build a comprehensive knowledge base, reduce variation, and strengthen training and onboarding programs.

Summary

The City's five-level framework creates a structured approach for understanding and improving municipal operations. Levels 1–2 define the City's value architecture and end-to-end workflows. Levels 3–4 establish operational consistency and transparency. Level 5 anchors process discipline in daily work.

Together, these levels provide the foundation for a sustainable Business Process Management System - one that connects strategic goals to operational performance, enhances service quality, and supports a culture of continuous improvement throughout the City of St. Helena.

D. Process Inventory Overview

The Process Inventory serves as the City's master catalog of business processes, providing a clear, hierarchical view of how work is organized across departments and value streams. It establishes a consistent numbering and naming convention to connect the City's high-level service areas to their supporting subprocesses and standard operating procedures. This tool will form the backbone of the Business Process Management System (BPMS), enabling systematic tracking, prioritization, and improvement of processes over time. SharePoint serves as an effective platform for establishing and managing a comprehensive repository of organizational processes.

Process Level	Process ID	Process Name	Process Owner	Division	Cross Department Integration	Document Link
1	1.0	Public Works Service Delivery	Joe Leach	Public Works	Admin, B&S, Parks & Trees, UU, Water	Insert link to SIPOC, SwimLane Process Map, SOP
2	1.1	Building and Streets		Public Works		
2	1.2	Parks and Trees		Public Works		
2	1.3	Underground Utilities		Public Works		
2	1.4	Water Treatment		Public Works		
2	1.5	Wastewater Treatment		Public Works		
1	2.0	Library Services		Community Services		
1	3.0	Parks and Recreation		Community Services		
1	4.0	Fire		Community Services		
1	5.0	Police		Community Services		
1	6.0	Financial Management	Mandy Kellogg	Administrative Services		
2	6.1	Budget		Administrative Services		
2	6.2	Payroll		Administrative Services		
2	6.3	Utility Billing		Administrative Services		
2	6.4	Business Licenses		Administrative Services		
2	6.5	Accounts Payable		Administrative Services		
2	6.6	Accounts Receivable		Administrative Services		
2	6.7	Contracts / Purchase Orders		Administrative Services		
2	6.8	Accounting - audit, funding, bank reconciliation....		Administrative Services		
2	6.9	Cash Receipts		Administrative Services		
1	7.0	Human Resources	Mandy Kellogg	Administrative Services		
1	8.0	Information Technology		Administrative Services		
1	9.0	Community Development	Maya DeRosa	Community Development		
2	9.1	Building Permits		Community Development		
2	9.2	Planning Permits		Community Development		
2	9.3	Special Projects / Zoning Ordinance Administration		Community Development		
1	10.0	Capital Projects	Joe Leach	Public Works Administration		
2	10.1	Studies		Public Works Administration		
2	10.2	Capital Project from Study		Public Works Administration		
2	10.3	Capital Project from Operational Need		Public Works Administration		
1	11.0	Development Services	Joe Leach	Public Works Administration		
2	11.1	Planning Approval Process		Public Works Administration		
2	11.2	Public Improvement Plan Review and Approval		Public Works Administration		
2	11.3	Encroachment Permit Review		Public Works Administration		

Figure 28 – Example Process Inventory Overview

E. Continuous Improvement Assessment

A strong Continuous Improvement (CI) System integrates both top-down strategic improvement and bottom-up cultural improvement, ensuring that the City of St. Helena advances toward its long-term goals while simultaneously building a workforce that actively solves problems and improves performance every day.

At the strategic level, improvement projects and initiatives should directly align with the City's strategic priorities and Council-adopted goals. These efforts are typically organized and displayed using a driver diagram, which visually links the City's vision to its goals, strategies, and key improvement projects. A well-constructed driver diagram clarifies how project activities are both necessary and sufficient to achieve the intended outcomes, reinforcing accountability and strategic alignment. This top-down perspective ensures that limited resources are directed toward the initiatives that most meaningfully advance community outcomes. Presented below is a straightforward illustration of a strategic deployment framework.

Strategic Deployment Framework (Example)

True North: Deliver reliable, high-quality municipal services that enhance community well-being and long-term sustainability.

Vision & Mission: A responsive, transparent, and accountable city government focused on operational excellence and community partnerships.

Strategic Priorities: 1. Infrastructure & Resilience, 2. Financial Sustainability, 3. Customer Service Excellence, 4. Workforce Development, 5. Technology & Innovation

Primary Drivers

- Preventive maintenance and capital planning
- Budget discipline and forecasting

- Permit and customer-experience redesign
- Talent retention and succession planning
- IT modernization and system integration

Projects and Initiatives

- Pavement and water-system asset management
- New financial system implementation
- Streamlined permit and inspection workflow
- HR process modernization
- Citizen engagement and digital-service portal

Performance Measures (KPIs)

- Service-request response time
- Budget variance %
- Permit turnaround time
- Employee-engagement index
- % of services available online

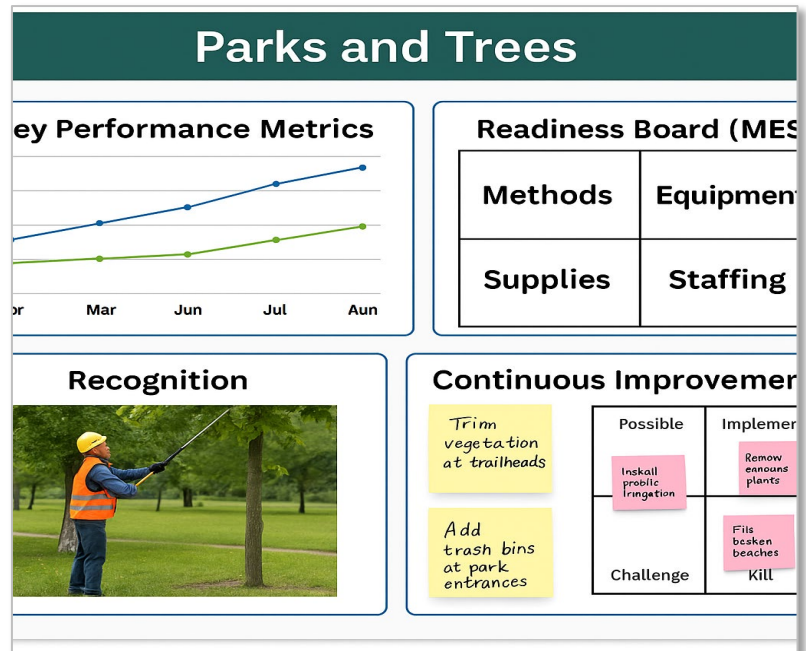


Figure 29 – DMS Example Board

At the operational level, the CI System must cultivate a culture of continuous improvement - a mindset in which every employee views themselves as both a contributor and a problem solver. Building this culture involves providing staff with training and tools in basic improvement methods and problem-solving techniques. Many organizations implement a Daily Management System (DMS) to sustain this approach. DMS structures -whether physical visual boards or digital equivalents -provide a standardized way for teams to review performance, identify barriers, and act on improvement ideas. These boards typically display:

- Key performance metrics and progress indicators
- Improvement slips or quick-win ideas ('Just-Do-Its')
- Sections for staff recognition or learning highlights
- A readiness board often uses the MESS framework—Methods, Equipment, Supplies, and Staffing—to ensure teams have what they need to perform today's work effectively.

When used consistently, the DMS reinforces situational awareness, team communication, and proactive problem solving. It also creates a structured pathway for issues that cannot be resolved at the local level to be escalated through tiered huddles—short, focused meetings at successive organizational levels to coordinate action and remove barriers.

During the review of current practices within the City of St. Helena, there was no evidence of a formally adopted improvement methodology such as Lean or Six Sigma. Likewise, employees did not reference improvement training, structured problem-solving routines, or standardized tools in their interviews. This represents a significant opportunity for growth. Developing this capability would help staff not only perform their daily work more efficiently but also engage in the disciplined identification and elimination of waste, variation, and rework.

A Daily Management System was partially observed within Public Works, where a superintendent huddle serves as a coordination and communication mechanism. This provides a foundation upon which a broader, citywide continuous improvement system could be built—one that links daily operational management with long-term strategic improvement. Business Process Management (BPM) provides the structural backbone of such a system. Many City processes are currently in a state of pre-control, meaning they lack standardized definitions and consistent measurement. The first improvement step, therefore, is to establish a stable and repeatable standard process. Once a process is in control, predictable, and consistently executed, it can be evaluated against performance requirements to determine whether it can meet desired goals. If not, targeted improvement projects can be initiated to close those performance gaps.

Establishing this dual approach - strategic improvement from the top and cultural improvement from the bottom up - creates a sustainable system in which every employee contributes to better outcomes, every process is measurable and improvable, and the City continuously learns and evolves to meet the needs of its residents and stakeholders.

F. Performance Measures and Continuous Improvement

During the review, limited evidence was found that performance measures are being used consistently for decision-making, or that results are being trended over time. In a mature performance management environment, measures serve as a feedback mechanism—providing quantitative insight into service delivery, resource utilization, and community outcomes. Without this visibility, leaders must rely on anecdotal input rather than data to identify inefficiencies, assess progress, or justify investments. Effective performance measurement systems link strategic objectives to operational activities, ensuring that every process contributes to the organization’s mission and vision.

A comprehensive performance management framework typically integrates two complementary tools: Balanced Scorecards and Process Dashboards. Balanced scorecards track key outcome indicators across perspectives such as customer satisfaction, operational effectiveness, workforce capability, and financial stewardship - providing a balanced view of organizational health. Dashboards, by contrast, focus on real-time process measures, enabling supervisors to monitor service backlogs, work order completion rates, or compliance metrics. Together, these tools create a closed-loop system that reinforces accountability, enables data-driven decisions, and embeds continuous improvement into daily operations. As St. Helena advances its business process maturity, developing and using such scorecards and dashboards will be essential to building a culture where improvement is informed by evidence and sustained by learning.

Title: Community Development Department | Performance Dashboard (Illustrative)

Focus Area	Key Performance Indicator (KPI)	Target	Current	Status
Permitting & Plan Review	Average days to issue residential building permit	≤ 10 days	14 days	 Needs Improvement
Code Enforcement	% of complaints inspected within 5 days	90 %	82 %	 At Risk
Planning	% of planning applications reviewed within statutory deadline	100 %	100 %	 On Track
Customer Experience	% of applicants satisfied with process clarity (survey)	85 %	72 %	 Needs Improvement
Staff Capacity	Average number of active cases per planner	≤ 40	56	 Off Target

Title: Public Works Department | Performance Dashboard (Illustrative)

Focus Area	Key Performance Indicator (KPI)	Target	Current	Status
Street Maintenance	% of potholes repaired within 72 hours of report	95 %	88 %	 At Risk
Water Management	% of water samples meeting EPA standards	100 %	100 %	 On Track
Wastewater Treatment	Average plant uptime (hours available / total)	≥ 99 %	97 %	 Needs Improvement
Parks & Landscape	% of scheduled maintenance completed on time	90 %	85 %	 Needs Improvement
Fleet & Equipment	% of fleet preventive maintenance on schedule	95 %	91 %	 On Track

Figure 30 – Illustrative Dashboards

G. Level 2 SIPOC Examples

Public Works – Service Delivery

Suppliers	Inputs	Process Steps	Outputs	Customers	Outcome Measures
Residents and businesses submitting service requests	Work orders, maintenance schedules, equipment, materials, staffing resources	1. Buildings & Streets Maintenance: Inspect and repair roads, sidewalks, signage, and street lighting	Safe and well-maintained public infrastructure	Residents, businesses, visitors	% of service requests completed within target timeframe; number of safety incidents per year
Utilities vendors, materials suppliers	Tools, replacement parts, utility maps	2. Parks & Trees: Maintain parks, urban trees, landscaping, and public green spaces	Clean, accessible, and visually appealing public areas	Residents, community organizations, visitors	Park condition index; % of tree maintenance completed on schedule; citizen satisfaction survey results
Engineering team, public works staff	Work plans, maintenance logs	3. Underground Utilities: Maintain storm drains, sewer lines, and water distribution infrastructure	Reliable and compliant underground utility systems	Residents, businesses, regulatory agencies	% of line breaks per mile per year; regulatory compliance rate; mean time to repair
Water treatment plant operations	Water quality data, chemicals, monitoring equipment	4. Water Treatment Plant: Operate treatment facilities to ensure clean and safe drinking water	Potable water meeting state and federal standards	Residents, regulatory agencies	% of water quality samples in compliance; gallons treated per FTE; cost per million gallons
Wastewater plant operations	Influent data, process controls, operator logs	5. Wastewater Treatment Plant: Operate wastewater collection and treatment processes to protect public health and environment	Treated wastewater meeting regulatory discharge standards	Residents, environmental agencies, regional water board	% compliance with effluent standards; cost per gallon treated; % preventive maintenance completed

Public Works – Development Services

Suppliers	Inputs	Process Steps	Outputs	Customers	Outcome Measures
Contractors, architects, residents	Permit applications, plans, inspection requests	1. Receive and review permit applications	Completed application review	Contractors, developers, residents	% of applications reviewed within target days; % of complete submissions received
Planning and Building divisions	Zoning and code data, inspection schedules	2. Conduct plan checks and inspections	Approved plans and completed inspections	Residents, builders	% of plan checks completed on time; # of re-inspections per 100 permits

City staff, finance	Fee schedules, policy documents	3. Issue permits and collect fees	Authorized permits and receipts	Contractors, finance department	Average permit turnaround time; % of fees collected electronically
Engineering, GIS, public works	Infrastructure and site data	4. Coordinate utility and infrastructure reviews	Utility coordination approvals	Developers, utilities	% of permits delayed by utility conflicts; # of coordination meetings held
Quality assurance team	Inspection reports, compliance findings	5. Close out permits and archive records	Closed permit files	Residents, developers	% of final inspections passing first time; # of code violations identified per quarter

Public Works – Capital Projects Delivery

Suppliers	Inputs	Process Steps	Outputs	Customers	Outcome Measures
City Council, Finance	Approved capital budget, project list	1. Prioritize and plan capital projects	Annual Capital Improvement Plan (CIP)	Council, residents	% of projects aligned with strategic plan; % of total funding obligated
Engineers, consultants	Design specifications, permits	2. Design and engineer projects	Final design packages	Contractors, internal departments	% of designs completed within schedule; # of change orders due to design errors
Procurement, legal	Bid documents, contracts	3. Procure and award contracts	Executed construction contracts	Vendors, contractors	% of projects awarded within 90 days of approval; # of bid protests
Project managers, contractors	Construction schedules, materials	4. Construct and manage projects	Completed infrastructure projects	Residents, businesses	% of projects on schedule and budget; cost variance per project
QA inspectors, finance	Punch lists, invoices	5. Close out and evaluate projects	Final acceptance and post-project evaluation	Council, residents, finance	% of projects completed within original scope; average closeout time

Community Development

Suppliers	Inputs	Process Steps	Outputs	Customers	Outcome Measures
Residents, developers, business owners	Development proposals, applications	1. Receive and review planning applications	Logged applications	Developers, residents	% of applications accepted as complete on first submission
Planning staff, regional agencies	Codes, ordinances, maps	2. Conduct zoning and environmental review	Compliance determinations	Developers, City Council	% of projects completing CEQA review within target; % of projects requiring resubmittal
Advisory boards, Council	Meeting agendas, reports	3. Present projects to planning bodies	Public hearing decisions	Residents, Council	% of recommendations accepted; public meeting participation rate

Permit center, engineering	Approved conditions	4. Issue entitlements and track compliance	Final approvals and records	Developers, residents	% of projects meeting permit conditions; # of code violations resolved
GIS, public information staff	Maps, status reports	5. Update planning data and communicate outcomes	Updated zoning and GIS maps	City staff, public	Frequency of data updates; # of web hits to planning portal

Administrative Services – Finance

Suppliers	Inputs	Process Steps	Outputs	Customers	Outcome Measures
Departments, vendors	Invoices, budgets, payroll data	1. Process accounts payable and receivable	Payments and receipts	Vendors, departments	Days payable outstanding; % of invoices processed within 30 days
City departments	Budget requests, revenue forecasts	2. Develop and manage city budget	Adopted annual budget	City Council, departments	% variance from budget; # of budget amendments per year
Payroll, HR	Timecards, salary schedules	3. Process payroll and benefits	Payroll runs, reports	Employees, HR	Payroll accuracy rate; % of payroll processed on schedule
Grantors, project managers	Grant agreements, reports	4. Manage grants and restricted funds	Grant reimbursement requests	State and federal agencies	% of eligible reimbursements received; grant compliance rate
City leadership, Council	Financial data, KPIs	5. Produce financial reports and audits	Monthly and annual reports	Council, residents	Timeliness of reports; audit findings per year

Administrative Services – Human Resources

Suppliers	Inputs	Process Steps	Outputs	Customers	Outcome Measures
Applicants, employees	Applications, resumes, policies	1. Recruit and hire qualified staff	Job postings and new hires	Departments, candidates	Time to fill vacancies; % of offers accepted
Department managers	Performance data, goals	2. Manage performance and evaluations	Completed performance reviews	Supervisors, employees	% of employees with annual review completed; employee satisfaction index
Training providers	Curriculum, materials	3. Deliver training and development programs	Trained staff and attendance records	Employees, management	Training hours per employee; % of staff meeting certification requirements
Payroll, benefits vendors	Enrollment forms, HRIS data	4. Administer benefits and compensation	Payroll and benefits updates	Employees, Finance	Benefits enrollment accuracy rate; % of payroll errors corrected within pay period
All staff	Engagement surveys, feedback	5. Maintain employee relations and compliance	Reports, investigations, resolutions	Employees, City leadership	# of grievances resolved within target; % compliance with labor regulations

5.3. Large Scale Considerations

As the City considers its efficiency and transformation, it's important to consider large scale changes. These changes could have significant impact on the City. We summarize some considerations below.

5.3.1. Revenue Improvement with Tourism

St. Helena has an amazing opportunity to improve tax revenues derived from the Napa Valley tourist industry. We provide 2023 statistics on Napa Valley tourism taken from Travel Research and Statistics (<https://www.visitnapavalley.com/about-us/research/>):

- Napa Valley welcomed a total of 3.7 million visitors.
- The tourism industry generated \$107.5 million in tax revenue for local resident services, an increase of 26 percent from 2018.
- Visitors to Napa Valley spent \$2.5 billion supporting local businesses.
- Almost 70 percent is generated from overnight hotel guests.
- The average visitor spent an average of \$281 in Napa County per guest, per day.
- Direct visitor spending within the county increased 13 percent since 2018.
- The tourism industry remains the second largest employer in Napa County (after the wine industry), supporting an estimated 16,000 jobs in the community.
- The average age of the Napa Valley visitor is 40, six years younger than the 2018 average visitor age of 46.
- Visitor spending per day in Napa Valley is \$7 million on average.

5.3.2. Increased Partnerships with Surrounding Towns and County

St. Helena has opportunities to further explore cost-sharing with Calistoga. Calistoga is a similar sized city within approximately 6 miles of St. Helena. St. Helena is already engaged with Calistoga partnerships with police dispatch. The City should continue to explore cost-sharing partnerships with Calistoga, particularly in areas of police, fire, and water. Further, the City should explore partnerships with Napa County in areas of water treatment and waste water.

5.3.3. Public Private Partnerships

A public-private partnership (PPP) refers to a contractual arrangement wherein a municipal government (a town of St. Helena's scale) collaborates with private sector entities to finance, develop, operate, or maintain infrastructure assets or services. Typically, the public body retains oversight, regulatory authority, and ultimate accountability, while the partner injects capital, specialized expertise, or accelerated timelines. Returns are risk-shared: taxpayers dodge full upfront burdens, firms earn through fees or concessions over decades. The City could use PPP arrangements for a broad range of needs. We provide some examples of PPP use by other towns/cities in the United States.

Alexandria, Virginia

Source: <https://www.alexandriava.gov/P3>

The City of Alexandria has long been a part of public-private partnerships and alternative delivery such as the Energy from Waste facility on Eisenhower Avenue, the construction of public parking garages with private development, the Torpedo Factory Arts Center, the City Courthouse, the Potomac Yard Fire Station, the Potomac Yard Metro Station, the first design-build of a municipal bus facility in Virginia, affordable and workforce housing, as well as used innovative financing tools such as synthetic tax incremental financing for Landmark Mall site redevelopment, the Virginia Tourism Development Financing Program for the redevelopment of 699 Prince Street Hotel, support agreements for retention of the Art League HQ and the activation of the The Art League Old Town North Arts District, franchise solicitation for EV Charging Infrastructure at City facilities, and tax abatement for the 5001 Eisenhower Avenue Office Building Conversion Project. The City also partners with many non-profit organizations in the delivery of services to the public. These innovative and progressive initiatives have involved joining the financial and knowledge-based strengths of the private sector with the public sector's in undertaking of complex affordable housing, cultural, transportation and other projects.

Rialto, California

Source: <https://bridgemastersinc.com/u-s-infrastructure-benefits-public-private-partnerships/#:~:text=Rialto%20Utility%20Authority%2C%20Rialto%2C%20California,safe%20water%20to%20the%20community.>

A public-private partnership was formed to upgrade the city's water system, which was facing decay and contamination. A 30-year PPP was established with a water processing company and an investment firm to make the necessary improvements and provide safe water to the community.

Sandy Springs, Georgia

Source: <https://www.sandyspringsga.gov/public-private-partnership> and [https://www.mackinac.org/20029#:~:text=Local%20P3s:%20Sandy%20Springs%2C%20Ga.&text=As%20you%20can%20imagine%2C%20Sandy,Office\)%20or%20some%20private%20entity.](https://www.mackinac.org/20029#:~:text=Local%20P3s:%20Sandy%20Springs%2C%20Ga.&text=As%20you%20can%20imagine%2C%20Sandy,Office)%20or%20some%20private%20entity.)

Incorporated in 2005 and designed its operations around a "contract city" model, outsourcing most municipal services like public safety and infrastructure to private firms. This model is often cited as a comprehensive example of a PPP. It also demonstrates issues with PPP when they are overly relied upon.

6.0 Next Steps

In Step 1, Blackberg began the current state analysis with a focus on collecting input from City staff in the form of structured interviews and surveys. In Step 2, Blackberg continued the current state analysis, but the methods changed to document reviews; data requests; quantitative analyses of data; interviews with Executive leadership, Finance Committee members, City Council members, and residents (small number); review of legacy analyses and surveys; one meeting with the outside IT service consultant (Apex); examination of publicly published materials on the website and social media; and examination of national benchmark data for Libraries. This enabled us to develop a comprehensive and accurate picture of the City's current state.

Next, we move into Step 3 where we begin developing recommendations for transformation. This includes an examination of organizational structure and staffing; process improvements and efficiency potential; cost savings potential; and technology utilization and modernization.



Organizational Structure & Staffing Component

JANUARY 5, 2026

Efficiency and Business Transformation Study



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1.0 Introduction

For Task 3A, the St. Helena (City) assigned Blackberg to review departmental structures, staffing levels, and resource allocations. Specifically, this includes the following:

- Review City of St. Helena citywide organizational chart;
- Review span and control;
- Number of staff that directly report to a manager/supervisor; and
- Centralization or decentralization of certain functions

In 2024, the City hired Ralph Andersen and Associates to complete a “Compensation Analysis” for City personnel positions. Blackberg reviewed the Compensation Analysis and gathered additional data from the City (e.g. organizational chart, budget information, workload, etc.). Blackberg also conducted a series of workshops for the City. The purpose of the workshops was to examine the City’s current staffing structure and to explore possible improvements. We split the workshops into “Workshop 1” and “Workshop 2”. In Workshop 1, we focused on the staffing structure of individual Departments. Per City input and our contract, we did not include the Police or Fire Department in Workshop 1. We hosted and facilitated 5 Workshop 1 events (i.e. one for each Department), and only the members of the specific Department attended their respective Workshop 1. In Workshop 2, we hosted and facilitated the staffing structure across Departments (citywide). For Workshop 2, the City Executive Managers and City Manager were present. The findings from the Workshops inform this deliverable; however, we do highlight areas of workshop findings that derive from City employee input and recommendations versus Blackberg independent analysis and recommendations.

During our first data request, we did not receive a copy of the Ralph Andersen and Associates’ Compensation Analysis nor did we know it existed. We are also aware from multiple interviews with City staff, and the City staff survey that we conducted for Deliverable 1, that there is disagreement and concerns about total compensation. Therefore, Blackberg conducted a limited analysis of salary benchmarks that we discuss in detail in Section 3.

2.0 Ralph Andersen and Associates Compensation Analysis

Blackberg received the Ralph Andersen and Associates’ Compensation Analysis without any explanation of methodology, discussion of analysis findings, or definition of terms. The data that we have available from the Compensation Analysis are data tables. We provide an example in **Figure 1**.

The City should be cautious in how it uses and interprets the data because it is a very small sample size. The sample size ranges from 3 – 14. Blackberg views the primary usefulness of this data as being insights into how much the City would likely need to offer to “hire away” an existing employee of one of these cities. However, based on the data, one should not assume that it provides accurate information about salary averages and medians within the region from which hires can be made. Therefore, we do not believe the Ralph Andersen and Associates’ Compensation Analysis can answer the question of “are the salaries paid by the City fair for both itself and its employees.” Rather, it provides guidance on what the City might need to pay to recruit from a specific city. We

ST HELENA LABOR MARKET SALARY SURVEY

Statistics computed using range Control Point/Max

Assistant Administrative Services Director

Agency	Comparable Class Title	Minimum	C.P./Max	Spread
Vacaville	Assistant Dir of Finance	\$ 11,942	\$ 14,509	21.5%
St Helena	Assistant Administrative Services Director	\$ 11,517	\$ 13,999	21.6%
Santa Rosa	Deputy Director of Finance	\$ 10,549	\$ 13,645	29.3%
Novato	Deputy Director of Administrative Services	\$ 11,184	\$ 13,594	21.5%
American Canyon	No Comparable Class			
Calistoga	No Comparable Class			
Fairfield	No Comparable Class			
Healdsburg	No Comparable Class			
Napa	No Comparable Class			
Petaluma	No Comparable Class			
Rohnert Park	No Comparable Class			
San Rafael	No Comparable Class			
Yountville	No Comparable Class			
St Helena Rank		2/4		
Coefficient of Variance		4%		
Number of Observations		3	Market Value	Percent +/-
Variability		Low		
Labor Market Mean			\$ 13,916	0.59%
Labor Market Median			\$ 13,645	2.53%
25th Percentile			\$ 13,619	2.71%
75th Percentile			\$ 14,077	-0.56%
Percentile Rank			70	

Figure 1 – Data Table: This is an example of a data table from Ralph Andersen and Associates.

do emphasize that the Compensation Analysis is useful information, but we caution on how the City uses it and what the City derives from it in terms of information value.

In Section 3, Blackberg provides a macro view of compensation data that complements the Ralph Andersen and Associates' Compensation Analysis. Our analysis is limited to 10 positions, but we include much larger sample sizes (See **Figure 7**). The larger sample sizes enable us to more accurately answer the question "are the salaries paid by the City fair for both itself and its employees." We attempt to answer that question in Section 3.

3.0 Salary Benchmark Analysis

To develop a better understanding of the City's salary structure and total compensation for executive managers, Blackberg investigated salary data supplied by "Transparent California¹." The primary issue in the Transparent California data set is current data availability. There is a considerable amount of time between cities gathering and submitting their data and publication. In **Figure 2** (next page), the Director of Accounting data is from 2024; the City Clerk data is from 2022; and all other data is from 2023. In searching the database, we used titles closely matching the City's titles with a few exceptions. First, we did not search for an "Administrative Services Director"; instead, we searched for "Director of Accounting." We believed this was a better match to the core responsibilities of the position. Second, we did not search for a "Director of Community Services" because this was a somewhat ambiguous title. Instead, we searched for "Senior Librarian" and "Recreation Director." These are the two primary service areas under the Director of Community Services.

Figure 1 provides the Average Base Pay and Average Total Compensation. The Average Base Pay is guaranteed salary for the position. Average Total Compensation is Average Base Pay plus any forms of additional compensation (e.g. bonuses). Average Total Compensation does not include any benefits. In reviewing the data set, we found considerable variation in the amounts provided through a bonus structure versus base pay. For example, with the City Manager position, 22 individuals reported 0 "other pay" (i.e. bonus). However, in the same data set, one City Manager received \$412,220 in other pay. Therefore, the Average Total Compensation is better to use for comparing St. Helena's compensation to other cities.

3.1. Population Size Impact

It is known that total compensation typically (but not always) correlates strongly positive to the city population size of a sample data set. To examine this belief, we added population data to the salary data set and calculated the correlation coefficient between total compensation and population size for City Manager. As expected, the correlation coefficient is strongly positive at 0.46. To better understand the impact of population size, we calculated the Average Total Compensation of the City Manager and the Director of Public Works within 5 different city population size ranges (See **Figure 3**, next page). In Figure 2, one can see that the impact of population size on Average Total Compensation is quite large. Be mindful, as you consider this, that the primary driver of salary is the job title and associated job requirements. Therefore, being a secondary driver, population size is a strongly positive correlation.

¹ Transparent California, <https://transparentcalifornia.com/>, October 28, 2025.

Average Base Pay and Average Total Compensation from Samples

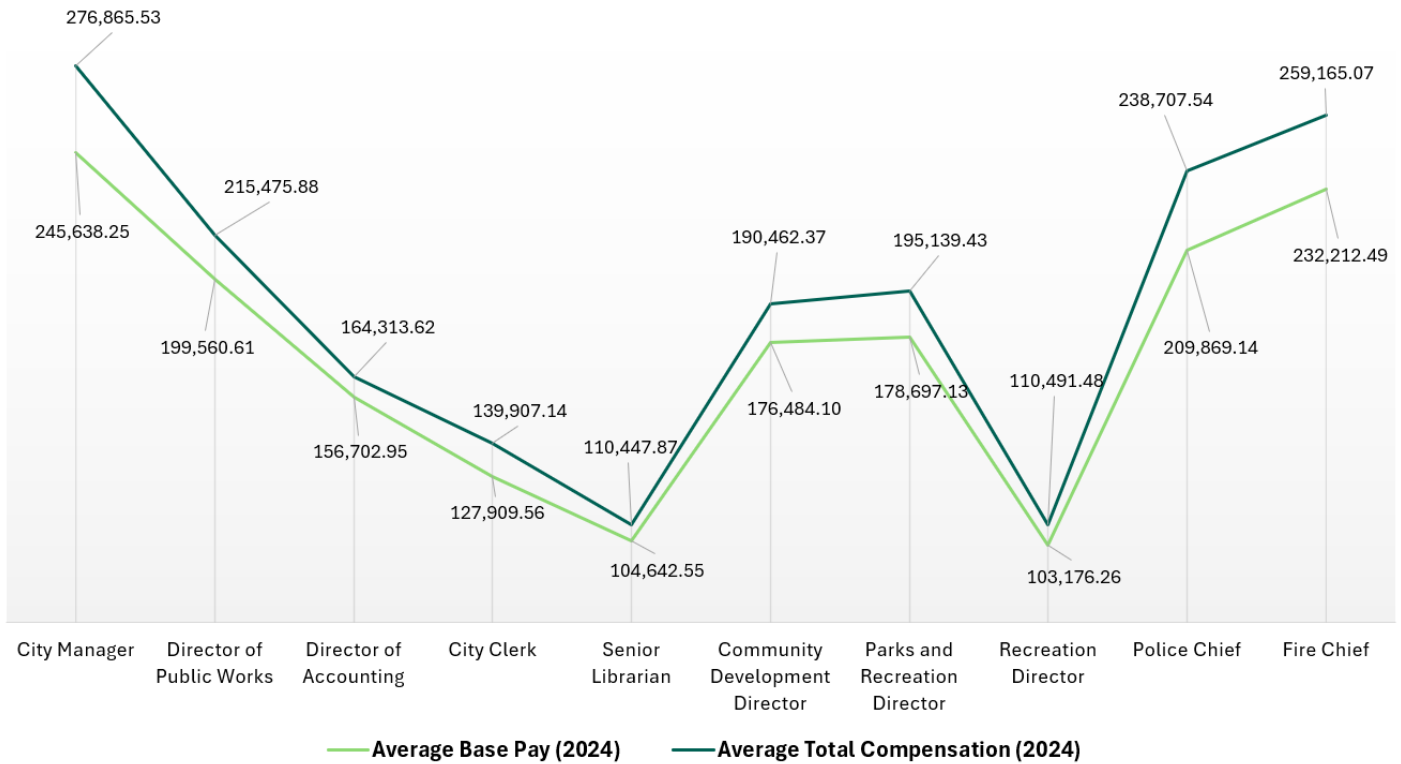


Figure 2 - Average Pay for Executive Managers: The average pay for executive managers derives from Blackberg's calculations of data from Transparent California, and it is split between base pay and total compensation.

City Manager		Director of Public Works	
Average Total Compensation	Population	Average Total Compensation	Population
\$ 214,745.33	0-10,000	\$ 194,825.12	0-10,000
\$ 247,083.67	10,000-20,000	\$ 191,840.58	10,000-20,000
\$ 281,295.21	20,000-50,000	\$ 207,876.84	20,000-50,000
\$ 312,435.33	50,000-100,000	\$ 227,595.73	50,000-100,000
\$ 356,223.79	Over 100,000	\$ 259,580.48	Over 100,000

Figure 3 - City Population Impact on Compensation: There is a clear, positive correlation between increased city population size and increased total compensation (this data is adjusted to 2024).

3.2. Comparison to St. Helena

To examine St. Helena's total compensation for certain management positions (primarily executive management), Blackberg developed a line chart in Excel (See **Figure 4**). There are three lines: 1) Sample Average Total Compensation (Red); 2) Small Town Sample Average Total Compensation (Green); and 3) St. Helena Total Compensation (Blue).

The Sample Average Total Compensation (Red Line) are the samples taken from the Transparent California data set (See Figure 3). It includes data for cities ranging in size from a population of 222 (Vernon) to 3,857,897 (Los Angeles). The average population size for this set of data is about 65,000-85,000 (mid-sized city). Therefore, one could think of these total

compensation figures (red line) as representative of a city with a 65,000-85,000 population – including all the complexities that come with such a city.

The Small Town Sample Average Total Compensation (Green Line) are taken from the Transparent California data set for cities with a population under 10,000. There are three important considerations: 1) city centric data was lacking for the Director of Accounting position, so it has a null value; 2) there were no Senior Librarians in cities with a population under 10,000, so its rate comes from under 50,000; and 3) there were only three samples of Fire Chief total compensation for cities with under 10,000 in population.

The St. Helena Total Compensation (Blue Line) comes from the City’s report to the State of California for 2024². It tends to track the mid-sized city (red line) total compensation, and except for Senior Librarian, St. Helena’s total compensation package tends to be well above cities with a population of under 10,000.

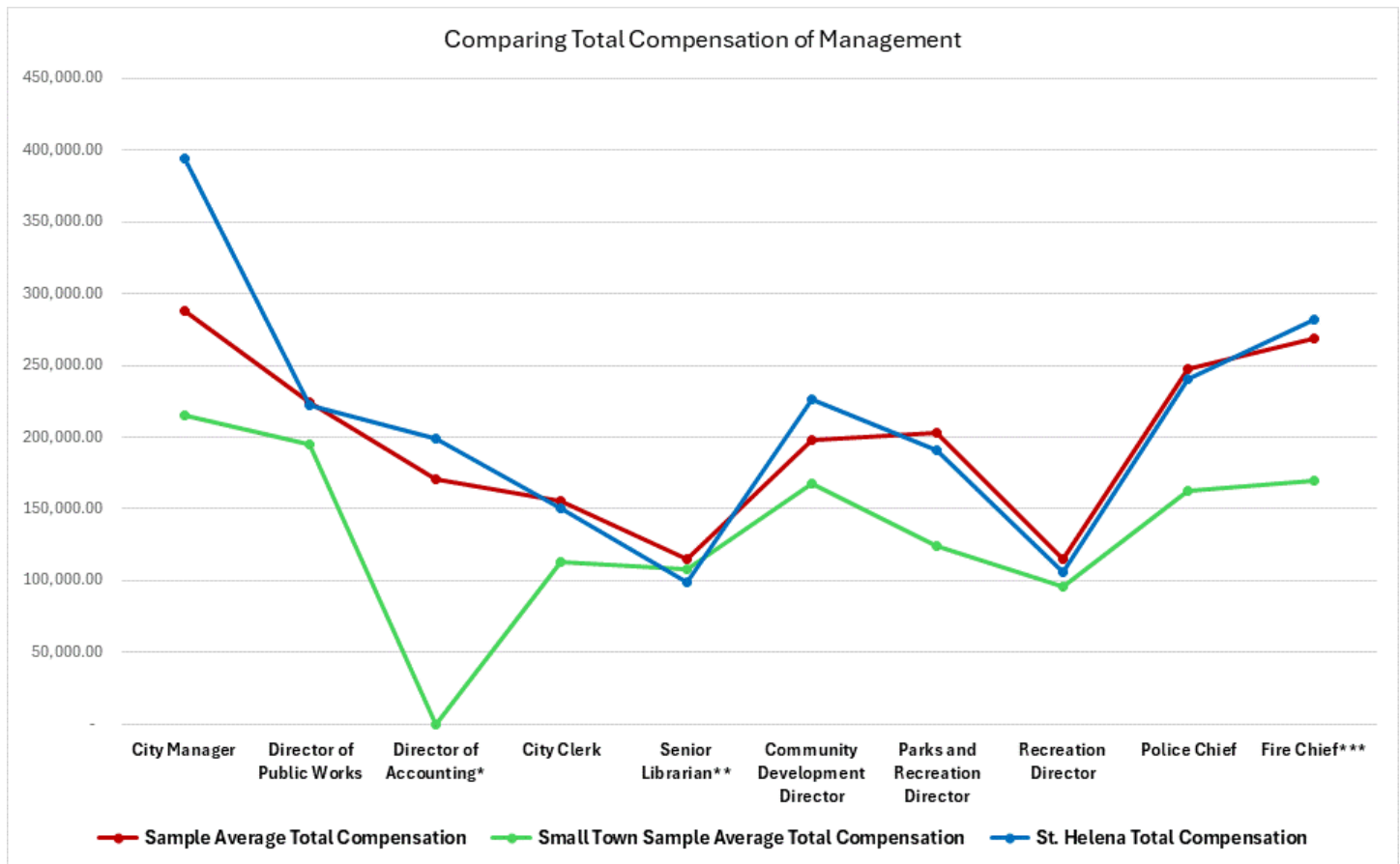


Figure 4 - Total Compensation Comparison: This compares St. Helena to a sample average from the Transparent California database. The Small Town sample is limited to towns with a population under 10,000.

* Director of Accounting data was not city centric; therefore, a null value exists for “Small Town Sample.”

** Senior Librarian did not exist in towns under 10,000, so we used towns under 50,000 for Senior Librarian exclusively.

*** Fire Chief sample size is only three (3) for under 10,000.

² Government Compensation in California, <https://publicpay.ca.gov/Reports/Cities/City.aspx?entityid=286&year=2024>, November 3, 2025.

3.2.1. Percentage Differences

In comparing St. Helena to mid-sized cities, 40% of its positions, in our analysis, are above total compensation averages and 60% are below total compensation averages. However, except for Senior Librarian, none are considerably lower than the average; although, three are considerably higher than the average (See **Figure 5**). Figure 5 shows variability (as a percentage) for St. Helena's total compensation versus the baseline (Sample Average Total Compensation). In Figure 4, the baseline is 0%, and the colored bars are St. Helena's total compensation variations from the baseline (positive and negative). In **Figure 6**, we provide the same type of analysis as Figure 5; however, in Figure 6, we compare St. Helena to other small towns (populations under 10,000). Given that increasing population size has a well-known positive correlation with increasing total compensation, Figure 6 is more relevant for St. Helena's use. Figure 6 demonstrates that St. Helena's total compensation for the shown job titles is well above small town averages, except for the Senior Librarian. In Blackberg's opinion, St. Helena shows extreme levels of variance about the average for this type of data.

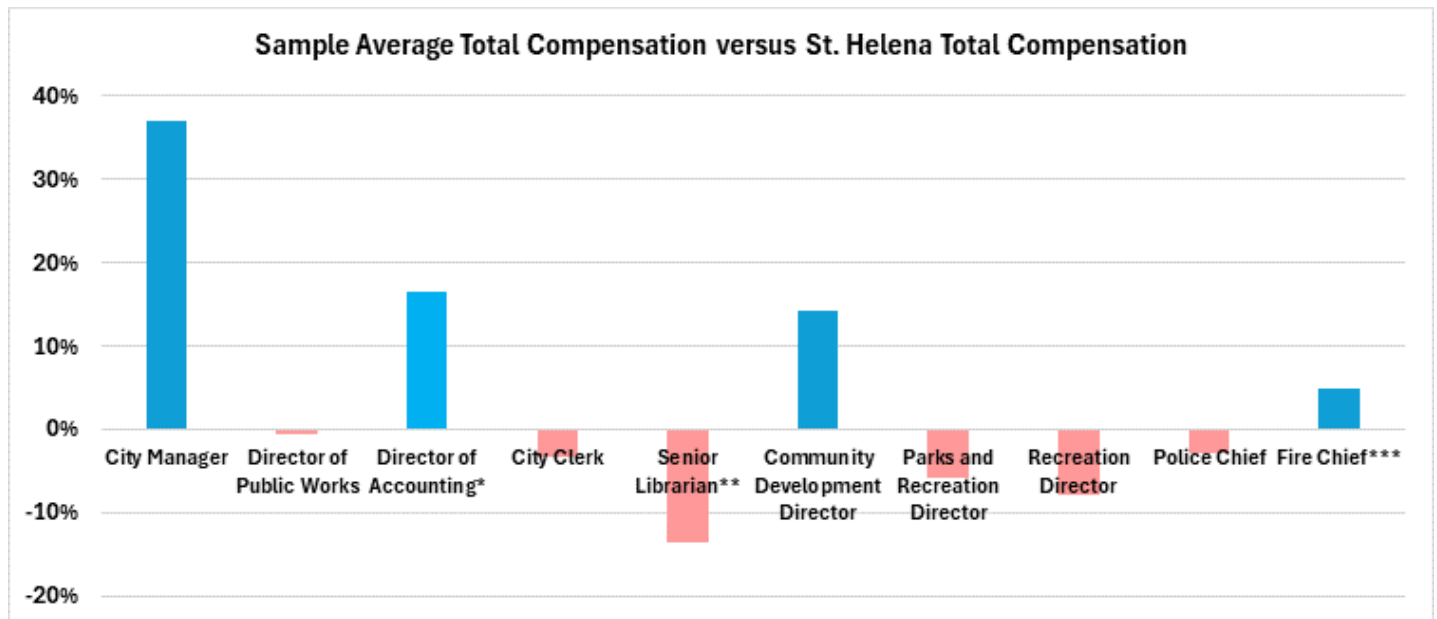


Figure 5 – St. Helena Percent Deviation from the Sample Average

* Director of Accounting data was not city centric; therefore, a null value exists for “Small Town Sample,”

** Senior Librarian did not exist in towns under 10,000, so we used towns under 50,000 for Senior Librarian exclusively.

*** Fire Chief sample size is only three (3) for under 10,000.

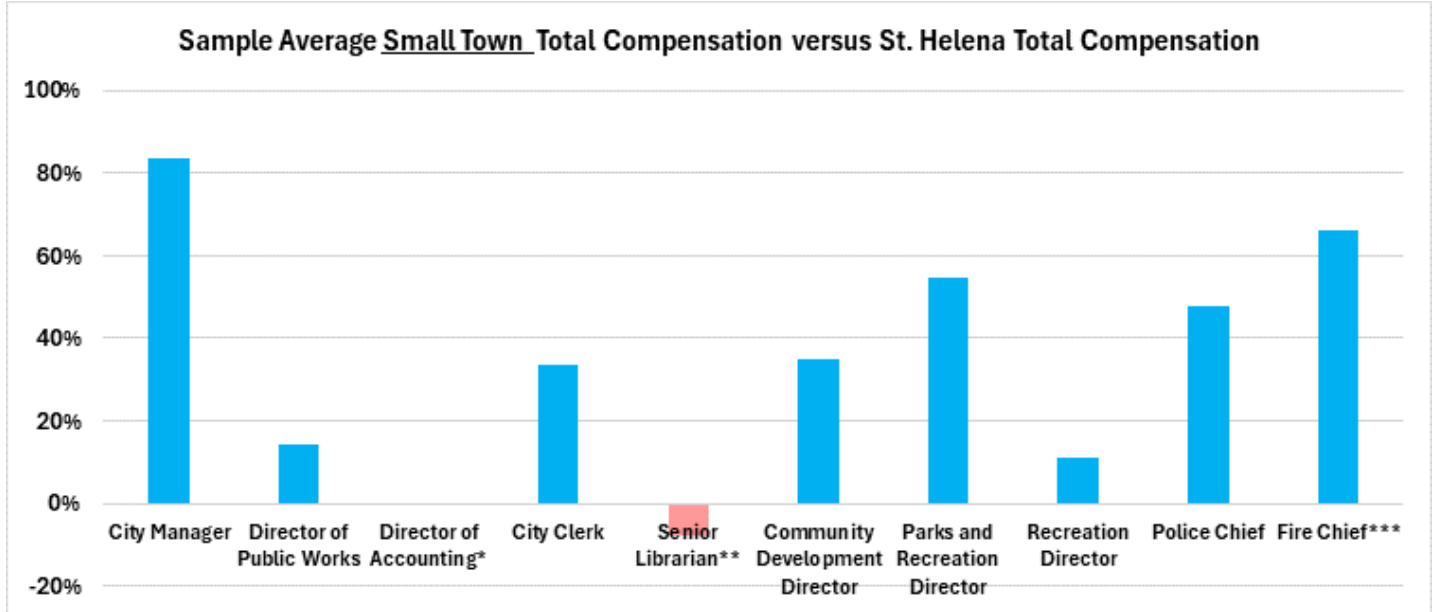


Figure 6 – St. Helena Percent Deviation from the Small Town Sample Average

* Director of Accounting data was not city centric; therefore, a null value exists for “Small Town Sample.”

** Senior Librarian did not exist in towns under 10,000, so we used towns under 50,000 for Senior Librarian exclusively.

*** Fire Chief sample size is only three (3) for under 10,000.

****The search parameter for City Clerk was “City Clerk”, not “Program Manager”. This is a dual-hatted position, so we provide this clarity.

When compared to other small towns (Figure 6), total compensation in St. Helena demonstrates extreme levels of variance from the average for this type of data (compensation data). We have heard responses from several individuals that this is expected because “St. Helena has a very high cost of living.” To examine this, we retrieved the Regional Price Parity (RPP) data from the Bureau of Economic Analysis. The RPP data shows for 2023 that California has a 12.6 % higher RPP than the national average³. However, all data in our analysis comes from California; therefore, we must examine the cost-of-living differences at the California county level. To do this, we used the “Living Wage” data published by the Massachusetts Institute of Technology (MIT)⁴. We use the “Required annual income before taxes” data to compare Napa County to California as a whole. The data shows that Napa County has a higher Required Annual Income of **7.35%** versus the California state average. Therefore, on average, St. Helena should expect to pay a higher wage than the average wage for California; however, the premium should be approximately 7% on average. This does not explain away the high premiums shown in Figure 6.

Blackberg believes that there are two core issues creating this issue with premiums. First, this sub-market is likely experiencing a significant degree of labor market failure. Based on what we found in the region, cities appear to have an artificially small recruitment pool partially created by placing too much emphasis on candidates with public sector experience. This could partially explain why many towns in the region are paying total compensation far above the California averages, and it is difficult to recruit. Second, St. Helena does not have a Talent Management System (TMS). This leads to reactive recruiting that “always feels like a last-minute scramble.”

We strongly recommend the establishment of a TMS. It would enable the City to create a recruitment strategy and better handle market failure situations that are likely present. Further, it would be very simple for the City to internally track MIT, Transparent California, and Government Compensation In California data within a TMS. This would also eliminate the need for consulting support in this area and save the City money that could be repurposed toward the Human Resources role.

³ Bureau of Economic Analysis, <https://www.bea.gov/news/2024/real-personal-consumption-expenditures-state-and-real-personal-income-state-and>, January 5, 2026.

⁴ Living Wage Calculator, <https://livingwage.mit.edu/counties/06055>, January 6, 2025.

3.3. Discussion on Data from Transparent California

3.3.1. Transparent California

As of October 28, 2025, Transparent California is a comprehensive public database and government watchdog initiative dedicated to promoting fiscal transparency in the state of California. As the largest repository of its kind, it aggregates and provides free, searchable access to over 38 million records detailing public employee compensation, including salaries, overtime, bonuses, and pensions across various sectors such as state agencies, cities, counties, school districts, and special districts. Launched as a project of the Nevada Policy Research Institute, the platform empowers taxpayers, journalists, and researchers to scrutinize government spending, identify inefficiencies, and foster accountability in public sector payroll and retirement systems. Data is updated annually, with the latest 2024 records currently in collection, enabling users to explore historical trends and individual profiles for informed civic engagement.

3.3.2. Understanding the Data from Transparent California

Characteristics of the Transparent California data set include the following:

Data Sourcing and Self-Reporting by Agencies

- The data is not independently audited by Transparent California.
- It relies on voluntary submissions from public agencies via Public Records Act (PRA) requests.
- Agencies submit data in varying formats (Excel, PDF, CSV), which can lead to formatting inconsistencies or transcription errors during aggregation.

Incomplete or Missing Records

- Not all public entities comply fully or on time. Some delay submissions or provide partial data.
- As of 2024, some agencies are still missing from the latest dataset.
- Special districts and smaller entities are often underrepresented.

Sample Size and Characteristics

The “Job Title” search within the Transparent California database provided a reasonable sampling of relevant salary information. The sample size varied by the specific job title that we searched, and we provide that information in **Figure 7**.

Further, the retrieved data set included a wide range of city population sizes tied to the specific data records. For City Manager, the smallest city has a population of 312 (Sand City); whereas, the largest city has a population of 545,412 (Fresno). This raises some obvious concerns about the usefulness of the data for a small city, like St. Helena (population ~5,400). Therefore, we conducted additional analyses in section 2.1 and shown in Figure 2.

Job Title	Sample Size
City Manager	349
Director of Public Works	77
Director of Accounting	45
City Clerk	228
Senior Librarian	203
Community Development Director	104
Parks and Recreation Director	49
Recreation Director	76
Police Chief	189
Fire Chief	121

Figure 7 – Sample Size: This is the sample size by job title that Blackberg used.

3.3.3. Data Preparation and Analysis

Step 1 – Blackberg searched Transparent California using search terms matching the City of St. Helena’s titles for executive managers (e.g. City Manager, Director of Public Works, Senior Librarian). We did adjust the titles for some searches (i.e. Director of Accounting, Recreation Director).

Step 2 – Blackberg downloaded an Excel spreadsheet of results and formatted the data as a table. Next, we removed the overtime pay column since we were not examining it.

Step 3 – Blackberg filtered for Part Time (PT) positions and deleted them from the data set. We also examined the Job Title column and removed any that were clearly not a match for the position. For example, with City Manager, there were many Job Titles of: Assistant to the City Manager, Deputy City Manager, City Manager’s Analyst, etc. We removed these titles from the data set.

Step 4 – Using Microsoft Excel, Blackberg calculated a median and average salary for the positions in the data set. We also calculated averages for “other pay,” “Benefits,” and “Total Pay and Benefits.”

3.4. Discussion of Results

The median salary and average salary were closely coupled for all positions except Recreation Director. This is likely because there is a broader definition of roles and responsibilities for Recreation Director within various organizations. For all the positions, there is a significant range of data from the min to the max. This seems to correlate strongly with the size of the organization/City. For example, the City Manager for Blue Lake has a total compensation of \$85,597; whereas, the City Manager for Sacramento has a total compensation of \$593,240. However, there are also clearly large exceptions to this because Commerce (with a population of 12,063) has a total compensation of \$639,326.00 for City Manager. To further investigate it, we calculated the correlation coefficient between City Manager total compensation and city population size. The correlation coefficient is .46, which is moderately positive, and as expected, as stated earlier.

4.0 Workshops

Blackberg conducted a series of workshops for the City. The purpose of the workshops was to examine the City’s current staffing structure and to explore possible improvements. We split the workshops into “Workshop 1” and “Workshop 2”. In Workshop 1, we focused on the staffing structure of individual Departments. Per City input and our contract, we did not include the Police or Fire Department in Workshop 1. We hosted and facilitated 5 Workshop 1 events (i.e. one for each Department), and only the members of the specific Department attended their respective Workshop 1. In Workshop 2, we hosted and facilitated the staffing structure across Departments (citywide). For Workshop 2, the City Executive Managers and City Manager were present.

Disclaimer: This section (Section 4) contains data, recommendations, and comments from City employees. These are **not** independent Blackberg recommendations. However, Blackberg does provide summaries and analyses of what City employees provided during the Workshops.

4.1. Facilitation

Blackberg designed and developed the workshops to engage City employees in exploring roles, responsibilities, capabilities, hierarchy, gaps, lines of reporting, strategic partnerships, etc. Blackberg provided an “Introduction and Instruction” to all participants of each workshop in PowerPoint format (See Figure 8). The PowerPoint slides included background and purpose information, detailed instructions, and an introduction to frameworks for capturing thoughts. These frameworks included a Strengths, Weaknesses, Opportunities, and Threats (SWOT) Board, Workload Grid, Pain-Points Board, and Customer Needs and Expectations Board.

Blackberg used Miro (Miro.com) to facilitate the workshops. Miro is a virtual whiteboard with many different tools (including artificial intelligence (AI)) that supports group discussions and workshops. Blackberg made the Miro boards accessible to City employees before, during, and after the workshops. Blackberg conducted the workshops in Miro while using Microsoft Teams to provide video and voice conferencing for all participants.



Figure 8 – Introduction and Instructions.

4.2. Workshop 1 Overview and Results

Blackberg hosted individual Workshop 1 events for the following City Departments: Administrative Services, City Clerk, Community Development, Community Services, and Public Works. Per City direction, Blackberg did not host the Police or Fire Departments for a Workshop 1 event. Workshop 1 included two types of board: SWOT Board and Organizational Chart.

For the Organizational Chart, there were two scenarios:

- **Scenario 1** (Blue Background) – Staffing Count is Fixed, but you can make any other changes.
- **Scenario 2** (Green Background) – Staffing Count can Increase.

4.2.1. Administrative Services

Administrative Services highlighted that they are currently supporting an HR Manager, IT Manager, and Special Projects role, and these roles are not on the current organizational chart. They support these roles on a part-time basis. The three roles are highlighted in yellow in **Figure 9**. This is an example of a “multi-hatted” role tactic that is common in small organizations; however, in this case, it is high risk because the roles of HR Manager, IT Manager, and Special Project deviate

substantially, in terms of knowledge and capabilities, from accounting and finance. Of note, Apex Technology Management, LLC (Apex) currently handles all IT related support the City.

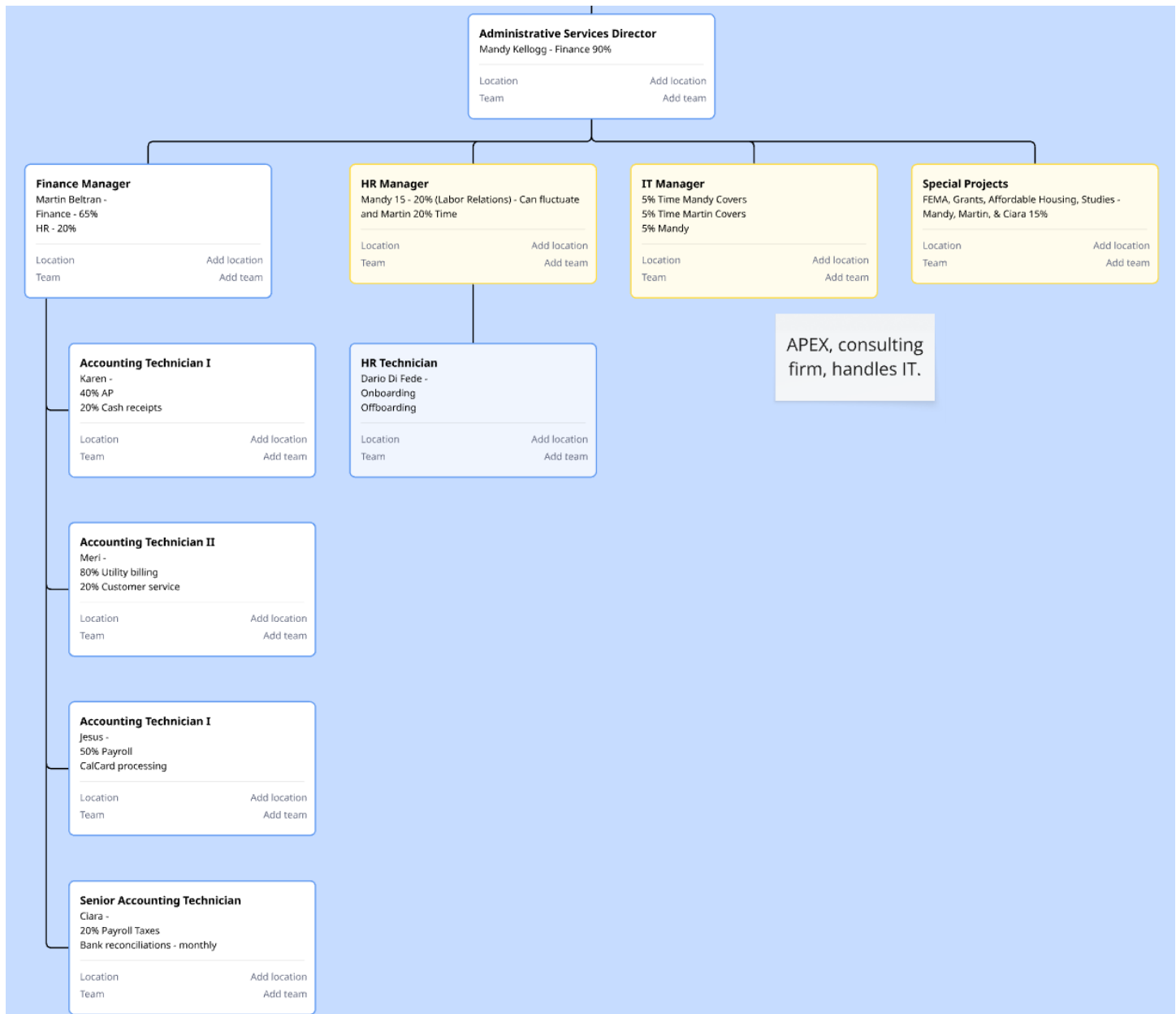


Figure 9 – Organizational Chart (Scenario 1), Administrative Services.

In scenario 2 (See **Figure 10**), the Administrative Services team recommended hiring a 0.5 time HR Manager and a 0.25 time IT Manager while maintaining Special Projects as a “multi-hatted role” tactic. For both the HR Manager and IT Manager positions, the team recommended seeking possibilities of these individuals being a “shared service” across other Departments or possibly with another neighboring city. The team also proposed seeking outside temporary support for known seasonal surges in work.

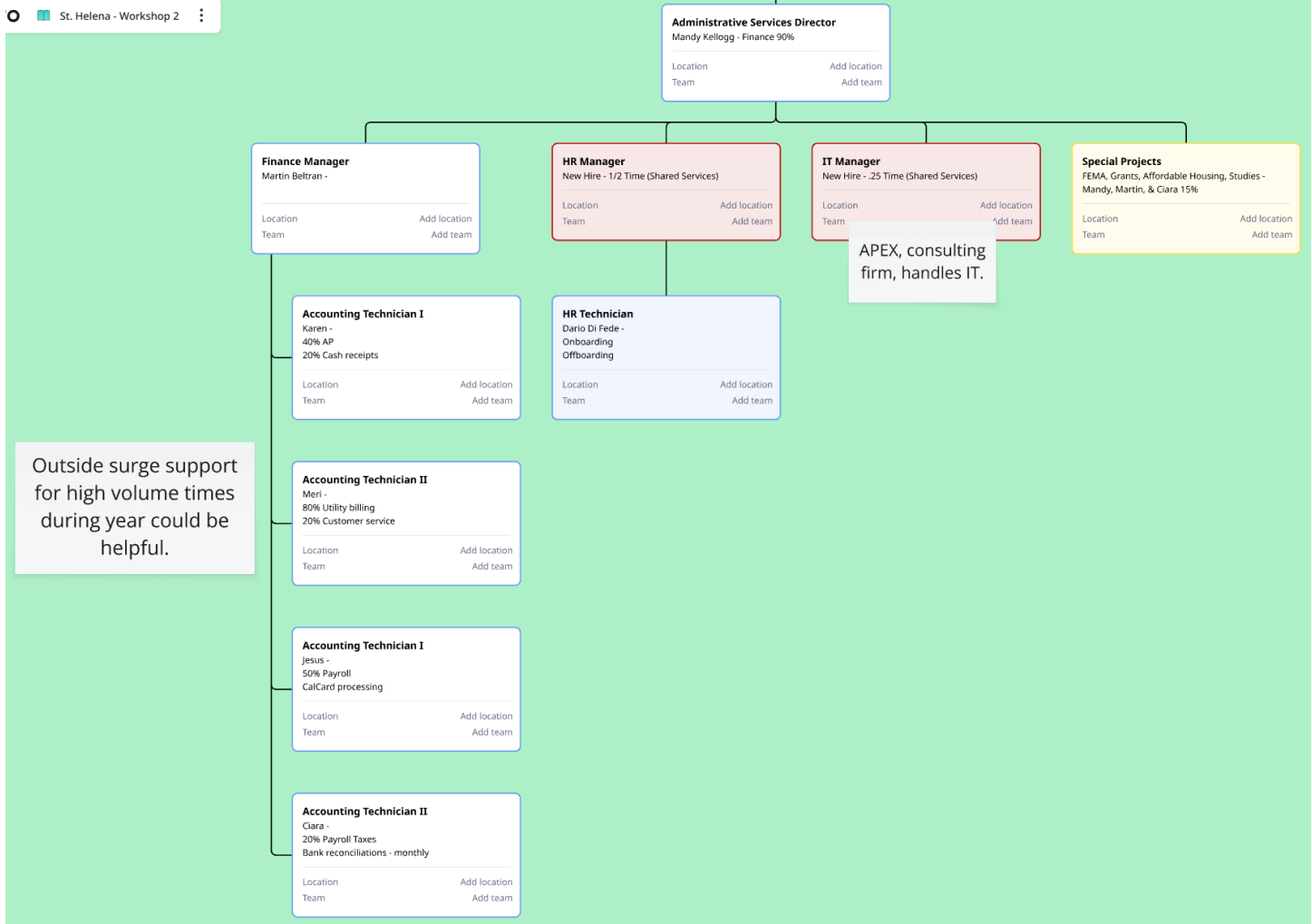


Figure 10 – Organizational Chart (Scenario 2), Administrative Services.

The Following “SWOT Table” provides a complete listing of all SWOT items captured during Workshop 1.

SWOT Table		
Category	Item	Description
Strengths	Customer Service Skills	Strong customer service orientation within the department
Strengths	Willing to help each other	Team members support one another and collaborate effectively
Strengths	Innovation amongst existing staff	Staff demonstrates creativity and innovative thinking
Strengths	Flexible and adaptable to changing work conditions	Team can adjust to evolving requirements and circumstances
Strengths	Knowledgeable staff	Staff possesses strong expertise and knowledge base
Strengths	Collaboratively updating SOPs	Team works together to maintain and improve standard operating procedures
Strengths	Tenure with the City	Long-term staff with institutional knowledge and experience
Weaknesses	Short staffing that existed contributed to back log of work	Historical understaffing has created work backlogs
Weaknesses	Staffing Turnover	Loss of staff creates continuity challenges
Weaknesses	Locating where files are saved - too many folders (some very old)	Disorganized file structure makes document retrieval difficult

SWOT Table		
Category	Item	Description
Weaknesses	Outdated SOP documentation	Makes it difficult to complete tasks that do not occur frequently
Weaknesses	Lack of knowledge limits system utilization	Access to various systems but insufficient training to use them fully (Example: Apps within Teams for task management)
Weaknesses	Disparate systems creating lack of cohesion	Systems like XBP/Springbrook don't communicate well, especially across departments
Opportunities	Education	Training and professional development opportunities for staff
Opportunities	Improved use of Software systems	Better utilization of existing software capabilities
Opportunities	Streamlining processes to reduce redundancy and speed up tasks	Process improvement initiatives to increase efficiency
Opportunities	Cross training	Developing staff skills across multiple functions
Opportunities	Evaluate time spent on current responsibilities	Time analysis to optimize workload distribution
Opportunities	Incorporate AI to make processes more efficient	Leveraging AI technology for process automation and efficiency
Opportunities	Build a dashboard showing tasks and timing	Creating visibility into work activities and time allocation
Threats	Risk of customer complaints due to process confusion from low or little cross department information visibility	Lack of transparency across departments may lead to customer dissatisfaction
Threats	Not having a dedicated person for Contract Management/Risk Management	Gap in critical administrative functions
Threats	Inability to absorb Special Projects as FEMA Liaison, Affordable Housing, Grant Reporting	Limited capacity to take on additional specialized work
Threats	Software not used to fullest capabilities	Underutilization of available tools and systems
Threats	Increased backlog workload detracts from cross training	Work volume prevents skill development initiatives
Threats	Risk of compliance issues related to HR leave of absences	Potential regulatory or policy violations in leave management
Threats	Lack of cross training leads to inability to cover for colleagues out of office	Coverage gaps when staff are unavailable
Threats	New software/programs creating improvements in other departments but causing additional work for Finance	Departmental system changes create downstream work for Finance team

4.2.2. City Clerk

The City Clerk currently has two full-time employees, and both employees attended the Workshop 1. In scenario 1, the team identified 3 positions (highlighted in yellow in **Figure 11**) which they jointly cover on a part-time basis. This is another example of the “multi-hatted role” tactic. In this case, the additional roles pair reasonably with the core skills and capabilities of the two employees who officially cover the City Clerk and Administrative Analyst roles. The amount of time that they spend covering the additional roles (yellow highlighted) is considerable: 20%, 35%, and 40% time commitments were estimated by the staff. They emphasized that the Executive Assistant position shows considerable variance in time commitment needs day to day and week to week.

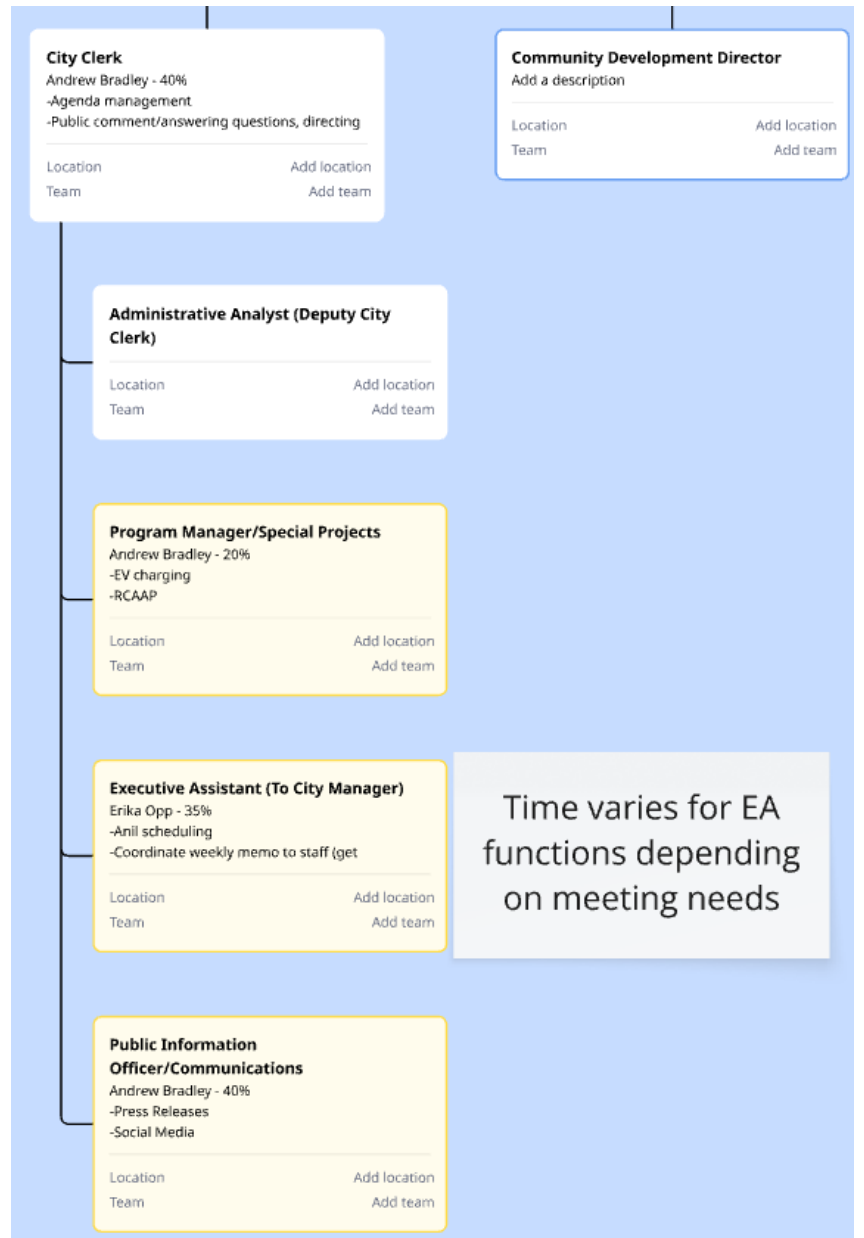


Figure 11 – Organizational Chart (Scenario 1), City Clerk.

For scenario 2, the team recommended 1 new hire that is highlighted in red in **Figure 12**. They propose a new role of “Records Analyst/Administrative Records Assistant.” They supported this recommendation by noting that there are significant challenges with records management and handling the volume of requests made by the public. They documented this in the SWOT table on the next page.

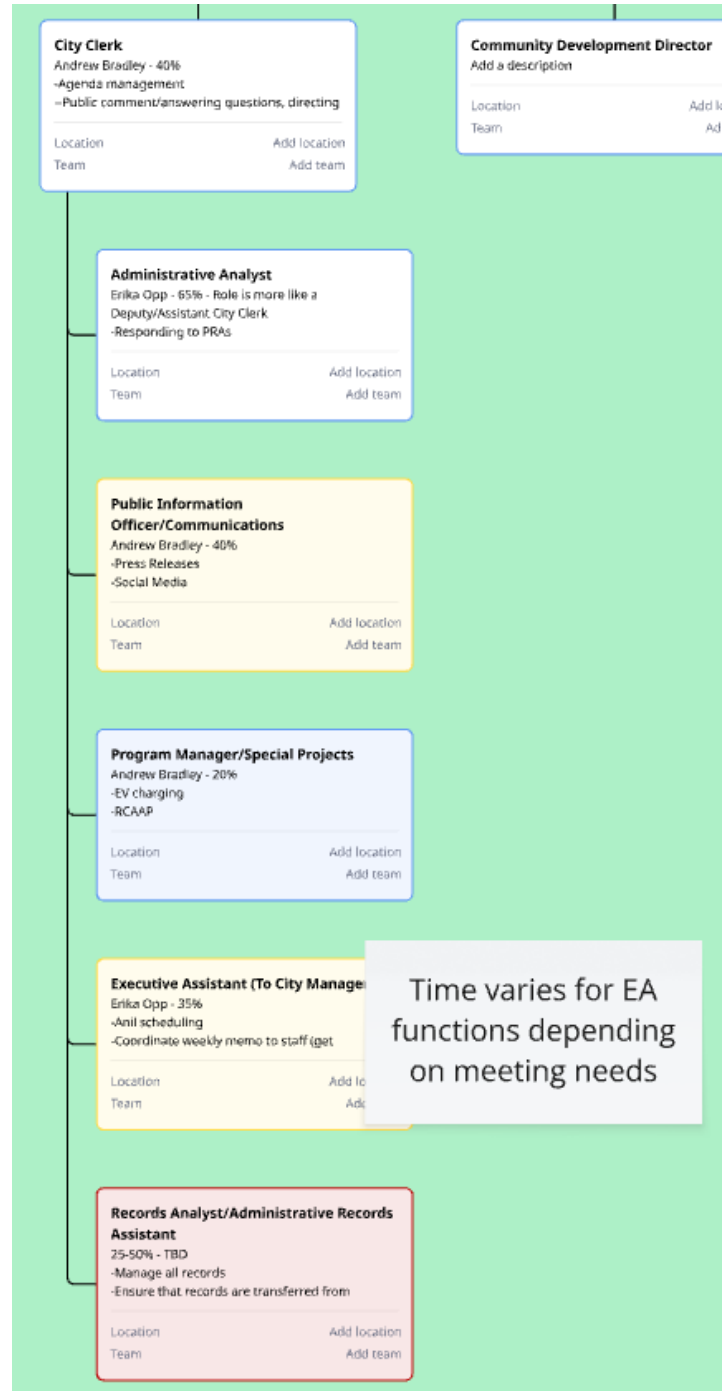


Figure 12 – Organizational Chart (Scenario 1), City Clerk.

The Following “SWOT Table” provides a complete listing of all SWOT items captured during Workshop 1.

SWOT Table		
Category	Item	Description
Strengths	Ready to learn/small department	Small department focused on getting things right with a commitment to quality work
Strengths	Staff works well together	Strong team collaboration and cohesion within the City Clerk department
Strengths	Responsive to departments and public	Effectively serves both internal departments and the community/public needs
Strengths	Organized workflows	Structured processes for agenda creation/approvals, PRAs, and public comments management
Strengths	Repetitive tasks aid learning	Regular council meetings and recurring tasks help facilitate learning and continuous improvement
Weaknesses	Regulatory needs/filing deadlines	Challenges meeting various regulatory requirements and filing deadlines
Weaknesses	Records not centralized	Not having all records in one place, creating inefficiencies in record retrieval and management
Weaknesses	Time management	Difficulty managing time effectively across various responsibilities
Weaknesses	Lack of experienced staff	No one in department with true City Clerk experience other than on-the-job learning
Weaknesses	Outdated software	Difficult to manage software, especially for staff reports, leading to missed deadlines by departments
Opportunities	Create regulatory calendar	Continuing to learn regulatory needs and create annual calendar for filing requirements
Opportunities	New agenda management software	Exploring options for improved agenda management systems
Opportunities	New PRA management software	Investigating solutions for better Public Records Request management
Opportunities	New board/council management software	Looking at updated software for managing board and council activities
Opportunities	Digital records transition	Getting records into Laserfiche and moving away from paper files
Opportunities	File automation	Implementing automation for moving files from individual departments into central repository/Laserfiche
Opportunities	RGS partnership	Working with RGS to get caught up on regulatory filing requirements
Opportunities	Staff development	Training and development opportunities through conferences, RGS, and CMCA mentorship
Threats	Records management challenges	Difficulty keeping up with retention policy and records management requirements
Threats	Backlog of record keeping	Behind on some record keeping and regulatory filing that requires attention
Threats	Public Records Request volume	Hard to keep up with the volume of Public Records Requests
Threats	Budget constraints	Lack of funds to move department forward with needed software and resources
Threats	Time limitations	Staff wearing multiple hats, limiting time available for City Clerk responsibilities
Threats	Election knowledge gaps	Not having a good grasp on what needs to be done regarding elections

4.2.3. Community Development

Community Development identified 2 additional roles that the team covers through a “multi-hatted role” tactic. The 2 additional roles are highlighted in yellow in both scenario 1 (blue background) and scenario 2 (green background). The 2 roles are “Planning Commission Clerk/Secretary” and “Code Enforcement.” These 2 roles are currently covered by multiple individuals on the existing team. (See **Figure 13**)

In scenario 2 (green background), the team also proposes the addition of 3 new hires. They recommend new hires for the roles of “Housing Manager”, “Economic Development Specialist”, and “Code Enforcement Officer.” They propose the Housing Manager as full-time and both the Economic Development Specialist and Code Enforcement Officer as part-time positions.

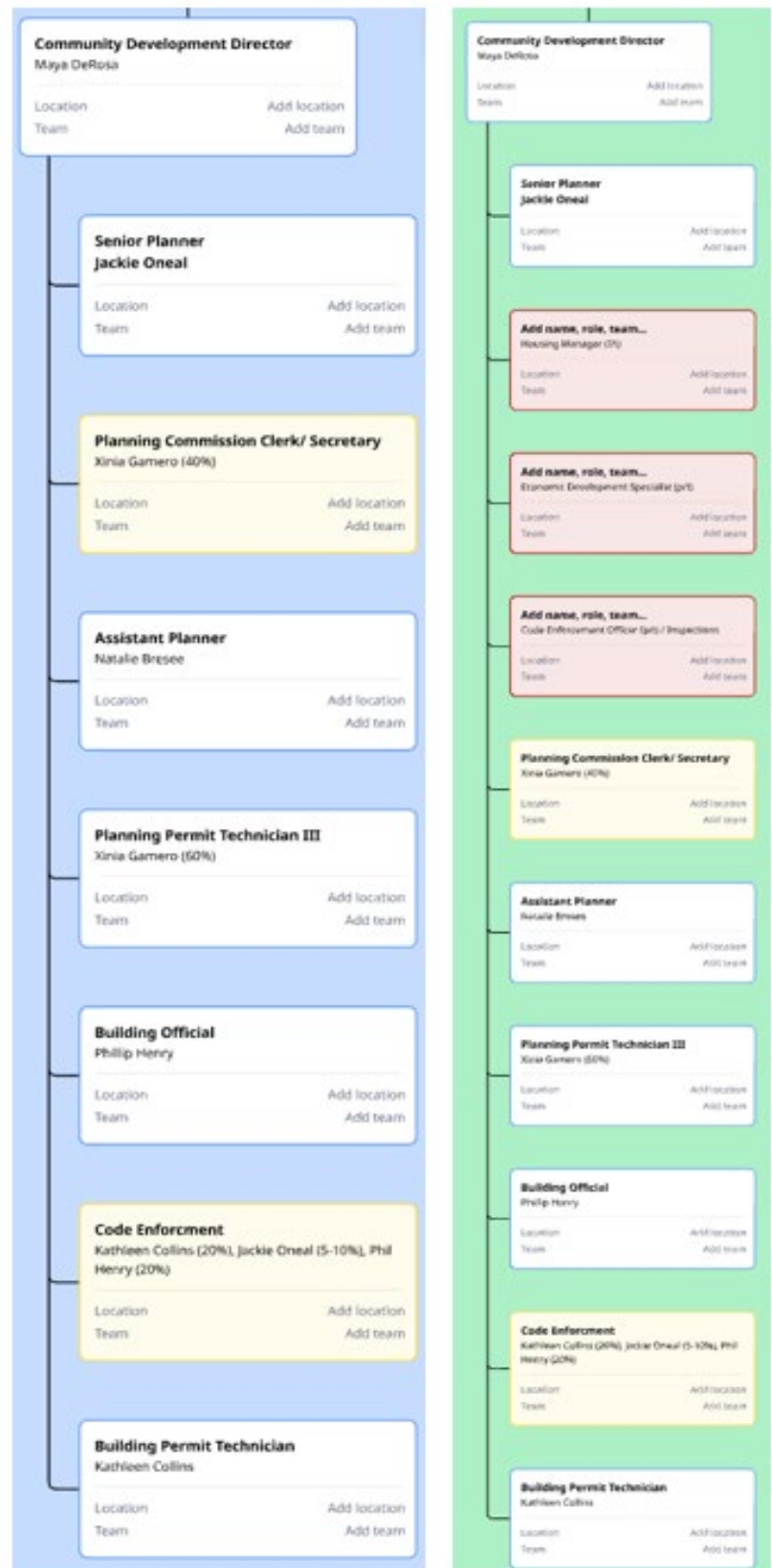


Figure 13 – Organizational Chart (Scenarios 1 & 2), Community Development.

The Following “SWOT Table” provides a complete listing of all SWOT items captured during Workshop 1.

SWOT Table		
Category	Item	Description
Strengths	High level of customer service provided	The team consistently delivers excellent customer service to clients and stakeholders
Strengths	Weekly team meetings	Regular meetings ensure alignment and communication across the team
Strengths	Responsiveness to public and other departments	Quick and effective responses to inquiries from the public and interdepartmental requests
Strengths	Most team members cross trained	Staff versatility allows for coverage and knowledge sharing across different functions
Strengths	Deliverables completed on-time	Projects and tasks are consistently completed within established deadlines
Strengths	Permit software increased efficiency	Implementation of specialized software has streamlined permitting processes
Strengths	New permitting software implemented in Sept 2025	Recent technology upgrade provides modern tools for permit management
Strengths	Team has a strong will to provide quality service	Staff is motivated and committed to delivering high-quality outcomes
Strengths	Many opportunities to attend trainings via webinars/conferences/etc	Continuous professional development is available and encouraged
Strengths	Internal/dept. support	Strong support systems exist within the department
Strengths	Internal communication	Effective communication channels within the team
Weaknesses	Need to put more routine processes into SOPs	Lack of standardized operating procedures for routine tasks
Weaknesses	No dedicated role for housing manager	Missing specialized position for housing management responsibilities
Weaknesses	No dedicated staff to work on economic development	Lack of focused resources for economic development initiatives
Weaknesses	Responsiveness of other departments in development review	Delays in interdepartmental coordination for development reviews
Weaknesses	Lack of communication protocols (interdepartmental) related to dealing with building permit customers	Inconsistent customer communication across departments
Weaknesses	Lack of cohesive use of available software/tools to full capacity	Underutilization of existing technology resources
Weaknesses	New permitting software not fully implemented with online inspection scheduling. Should have this 100% in 2026	Incomplete implementation of key software functionality
Weaknesses	Reliance on outside contract planners for larger and complex projects	Dependency on external resources for significant planning work
Weaknesses	No dedicated code enforcement officer role	Missing specialized position for code compliance oversight
Weaknesses	Growing illegal short term rentals	Increasing non-compliance issues with short-term rental regulations
Weaknesses	Meeting expectations of community that can be demanding	Challenges in satisfying high community expectations
Weaknesses	Lack of trust from appointed or elected officials	Relationship challenges with key decision-makers

SWOT Table		
Category	Item	Description
Weaknesses	Lack of trust from a small faction of members of the public/practitioners that we do business with	Credibility issues with certain stakeholders
Weaknesses	Water Neutrality policy has not been updated and creates uncertainty in process	Outdated policy causing procedural ambiguity
Weaknesses	Lack of staff support from elected officials	Insufficient backing from political leadership
Opportunities	Records retention	Potential to improve document management and archiving systems
Opportunities	A Housing Manager would provide expertise in area of helping City meet special Council requests in proactively addressing need for workforce housing and incentives	Specialized role could advance housing initiatives
Opportunities	Make all city staff feel valued and supported	Enhance employee morale and engagement across departments
Opportunities	Creating standardized email templates to reply to "top 10" inquiries	Efficiency improvement through communication standardization
Opportunities	Streamline ADU permits by removing water neutrality requirement and separate utility connections	Process simplification for accessory dwelling units
Opportunities	Finding opportunities to utilize AI to increase productivity in workflow	Technology adoption to enhance operational efficiency
Opportunities	Training/career growth webinar opportunities for general staff other than mid-management and directors	Expanded professional development for all staff levels
Opportunities	New hire of Assistant Planner will help with work capacity and special projects that have been sitting on the back burner	Additional resources to address backlogged initiatives
Opportunities	Code enforcement officer could help with growing illegal Short Term Rentals	Dedicated role to address compliance issues
Opportunities	City would benefit from a f/t HR Director	Enhanced human resources management and support
Opportunities	Hire p/t Geographic Information System or share with another City	Improved mapping and spatial analysis capabilities
Threats	Meeting expectations of community that can be demanding	Pressure from high community standards and expectations
Threats	Constantly changing legal landscape (HCD and State constantly implementing new requirements)	Regulatory volatility requiring continuous adaptation
Threats	Lack of trust from appointed or elected officials	Potential for decision-making obstacles due to trust issues
Threats	Lack of trust from a small faction of members of the public/practitioners that we do business with	Stakeholder relationship challenges affecting operations
Threats	Growing illegal short term rentals	Increasing non-compliance issues impacting housing availability
Threats	Water Neutrality policy has not been updated and creates uncertainty in process	Policy gaps creating procedural and compliance challenges
Threats	Lack of staff support from elected officials	Political challenges affecting departmental effectiveness
Threats	Increased State legislation adding additional burden for cities to comply with new reporting and other requirements	Growing regulatory compliance demands

SWOT Table		
Category	Item	Description
Threats	Small jurisdictions generally don't have the staff to gather required data/reporting requirements	Resource constraints affecting regulatory compliance

4.2.4. Community Services

In Scenario 1 (See Figure 14), Community Services identified roles not on the current City organizational chart. For the Library, this included 8 part-time staff that total approximately 75 additional hours of support per week. The part-time status for these 8 individuals varies between 4-15 hours per week. We clarified that these individuals are not volunteers. They are employees of the City. Recreation also identified a missing group of 3 Seasonal Recreation employees who work part-time. Their time varies between 10-20 hours per week throughout the year.

The Recreation Manager is “dual-hatted” in supporting the position of Recreation Manager and Director of Community Services. The Recreation Supervisor provides “dual-hatted” coverage of their role and Recreation Manager when the Recreation Manager is handling the Director of Community Services position.

In Scenario 2 (See Figure 15), the Library proposes hiring 2 new positions: 1) Library Associate for Programs and Marketing, and 2) Librarian for Outreach and Teens. Recreation proposes hiring 3 new positions: 1) Recreation Coordinator, 2) Volunteer & Special Events Coordinator (60% time), and 3) Contract Services Specialist (50% time). They envision the Contract Services Specialist as coordinating contracts but not developing or awarding RFPs.

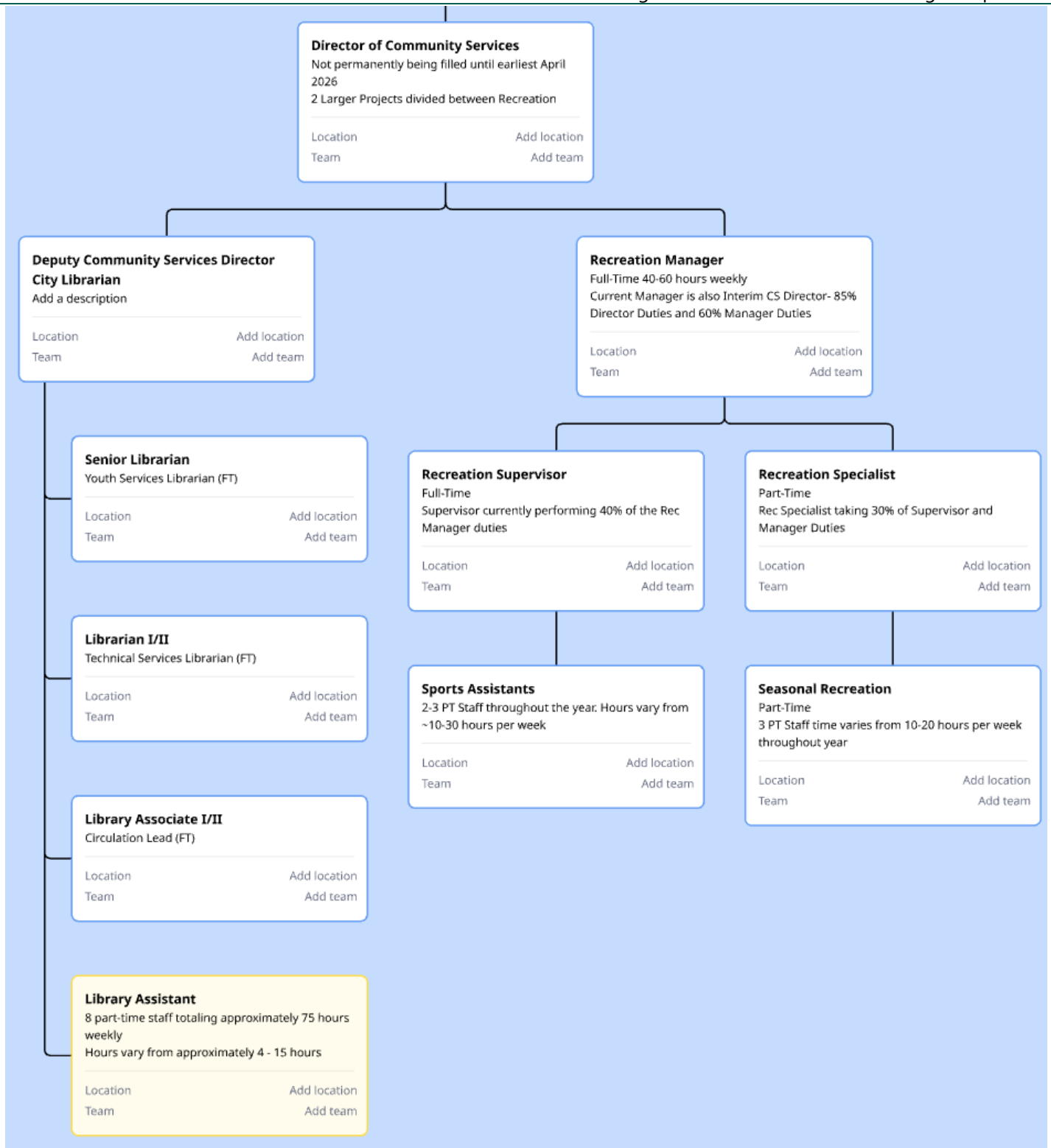


Figure 14 – Organizational Chart (Scenarios 1), Community Services.



Figure 15 – Organizational Chart (Scenarios 2), Community Services.

The Following “SWOT Table” provides a complete listing of all SWOT items captured during Workshop 1.

SWOT Table		
Category	Item	Description
Strengths	Staff collaboration and willingness to work together (& library)	Recreation and Library staff work together effectively as a team
Strengths	Rec- Willingness to help and assist other staff with programs	Staff members readily assist each other with programming needs
Strengths	Rec- Part-time staff (& library)	Availability of part-time staff across both departments
Strengths	Rec- Established and positive Community member relationships	Strong connections with community members that support operations
Strengths	Rec- Cohesive Full Time Staff Teamwork	Full-time staff work effectively as a cohesive unit
Strengths	Rec- Enhanced Community Engagement	Successfully engaging with the community through various initiatives
Strengths	Rec- Community partnerships	Established partnerships with community organizations
Strengths	Library - collaborative & flexible staff(&rec)	Staff demonstrates flexibility and collaboration across departments
Strengths	Library - Sees benefit to outreach and getting out into the community	Staff understands the importance of community outreach
Strengths	Library - Willing to use work-arounds when needed	Adaptability in finding solutions despite limitations
Strengths	Library - Part time staff who can step up and provide additional support when needed	Part-time staff willing to take on additional responsibilities
Strengths	Library - Accustomed to working on a shoestring	Staff experienced in maximizing limited resources
Strengths	Library - Committed staff	Dedicated employees committed to serving the community
Strengths	Library - Great customer service with patrons	Consistently providing excellent service to library users
Strengths	Library - Effective creative problem solving	Finding innovative solutions to challenges with limited resources
Strengths	Rec- Maximizing programming with current staffing and budget levels	Making the most of available resources for programming
Weaknesses	Currently only 2 FT staff members- PR	
Weaknesses	Rec- Recreation Manager currently interim director and recreation manager duties still	Single person handling multiple leadership roles
Weaknesses	Rec- Rec supervisor currently splitting duties to take on additional tasks from Rec manager	Staff stretching beyond normal responsibilities
Weaknesses	Rec- Lack of Institutional knowledge on staff	Limited historical knowledge about operations and procedures
Weaknesses	Rec- Administrative Burdens	Excessive administrative tasks taking time from core responsibilities
Weaknesses	Rec- Restricted Innovation	Limited ability to implement new ideas due to constraints
Weaknesses	Rec- Recreation Specialist PT position but expected to do FT work	Part-time position with full-time expectations
Weaknesses	Rec- Office coverage when staff is out at meetings or in the field	Difficulty maintaining office operations when staff is unavailable

SWOT Table		
Category	Item	Description
Weaknesses	Rec- Office coverage on any event days/nights- all hands on deck	Events require all staff, leaving other areas understaffed
Weaknesses	Rec- Special event planning, workload disruption	Events create significant disruption to regular workflows
Weaknesses	Library - 4 Full time staff	Limited number of full-time employees to handle library operations
Weaknesses	Library - A teen/youth librarian and programs/outreach librarian would be beneficial to the library	Missing specialized positions that would enhance services
Weaknesses	Library - Part-time staff who are unwilling/unable to step up and provide additional support when needed	Some part-time staff unable to take on additional responsibilities
Weaknesses	Library - Reduced staffing makes it difficult to provide outreach and get out into the community	Staffing limitations restrict community outreach efforts
Weaknesses	Library - Inefficient/siloed communication	Communication barriers between departments or staff members
Weaknesses	Library - Accustomed to working on a scarcity model	Operating with constant resource limitations
Weaknesses	Library - Used to not having needs/expectations met	Staff accustomed to working with unmet requirements
Opportunities	Rec- Can reach out to community members for institutional knowledge	Leveraging community expertise to fill knowledge gaps
Opportunities	Rec- Expanded Program Offerings	Potential to develop and implement new programs
Opportunities	Rec- Professional Development for Career Growth	Opportunities for staff to enhance skills and advance careers
Opportunities	Rec- Increased special events with revenue generators	Potential to increase funding through special events
Opportunities	Rec- Expanded/different program offerings	Diversifying program portfolio to meet community needs
Opportunities	Rec- Additional teen offerings with additional staffing	Potential to expand teen services with more staff
Opportunities	Rec- Additional facility space leading to additional programming. Dependent on additional staff	Possibility of expanding physical space for more programs
Opportunities	Rec- Increased arts and culture presence	Growing focus on arts and cultural programming
Opportunities	Rec- High function volunteer program with staff dedication	Developing robust volunteer programs with staff support
Opportunities	Rec- New non-profit to help increase funding opportunities	Partnership with non-profit organization to secure additional funding
Opportunities	Rec- dedicated community members and staff finding grants in multiple areas	Potential grant funding from various sources
Opportunities	CS- cross training part time staff in both divisions	Opportunity to train staff across departments for greater flexibility
Opportunities	Library - Cross-training within division and across departments	Enhancing staff skills through interdepartmental training
Opportunities	Library outreach during city events	Using city events as platforms for library outreach
Opportunities	Library - increase Library presence in community (schools/retirement homes, etc)	Expanding library services to various community locations

SWOT Table		
Category	Item	Description
Opportunities	Increase library hours to provide extra programming or space for members of the community	Potential to extend hours of operation for greater access
Opportunities	Library - Community connections to increase outreach opportunities	Leveraging existing connections for expanded outreach
Opportunities	Library - New programming/services supported by Friends & Foundation	Support from affiliated organizations for new initiatives
Opportunities	Library - Full time and part time trainings/professional development	Opportunities for staff development at all levels
Opportunities	Library - Create training within division and across departments	Developing internal training programs to enhance operations
Threats	Rec- Overburdened Staff	Staff experiencing excessive workload leading to burnout
Threats	Rec- High turnover potential due to inadequate staffing and inability to explore and innovate within the department	Risk of losing staff due to workload and limited growth opportunities
Threats	Rec- Community Dissatisfaction	Community members unhappy with service levels or offerings
Threats	Rec- Unrealistic Community Expectations	Community expecting more than can be delivered with current resources
Threats	Rec- Missed growth opportunities	Inability to capitalize on potential growth due to constraints
Threats	Rec- Inadequate staffing leaving program gaps that community partners can fill	Risk of external organizations filling service gaps
Threats	Rec- Failing Tech systems	Technology infrastructure at risk of failure
Threats	Rec- Old outdated facilities	Physical facilities needing updates or replacement
Threats	Library - Anticipated staff changes	Expected turnover or changes in staffing
Threats	Library - uncertainty of library location (future)	Lack of clarity about future physical location
Threats	Library - Lack of cohesion	Fragmented operations or team dynamics
Threats	Library - Lack of capacity to sustain relationships and outreach programs	Insufficient resources to maintain community connections
Threats	Library - Need to further reduce programming/services due to lack of funding	Potential cuts to services due to budget constraints
Threats	Library - Inefficiencies due work-arounds	Inefficient processes created by temporary solutions
Threats	Library - Community disappointment when services aren't functional (wifi, internet, printers...)	Negative community reaction to service disruptions

4.2.5. Public Works

In Scenario 1 (See **Figure 16**), Public Works found that there was 1 missing position of Plant Operator I/II under the Wastewater division. There were also significant error in the current organizational chart in terms of lines of reporting under the Public Works Director. Please see the existing organizational chart **Figure 20** and Figure 16 to compare.

In Scenario 2 (green background in Figure 15), the Public Works team proposed adding 8 new hire positions and 7 new people. These include: 1)Assistant Engineer, 2)Project Manager, 3)Mechanic (0.75 time), 4)Maintenance Operator (full-time but split 50/50 between Wastewater and Water), 5)Plant Operator I/II, 6)Maintenance Worker I/II, and 7)Lead Maintenance Worker.

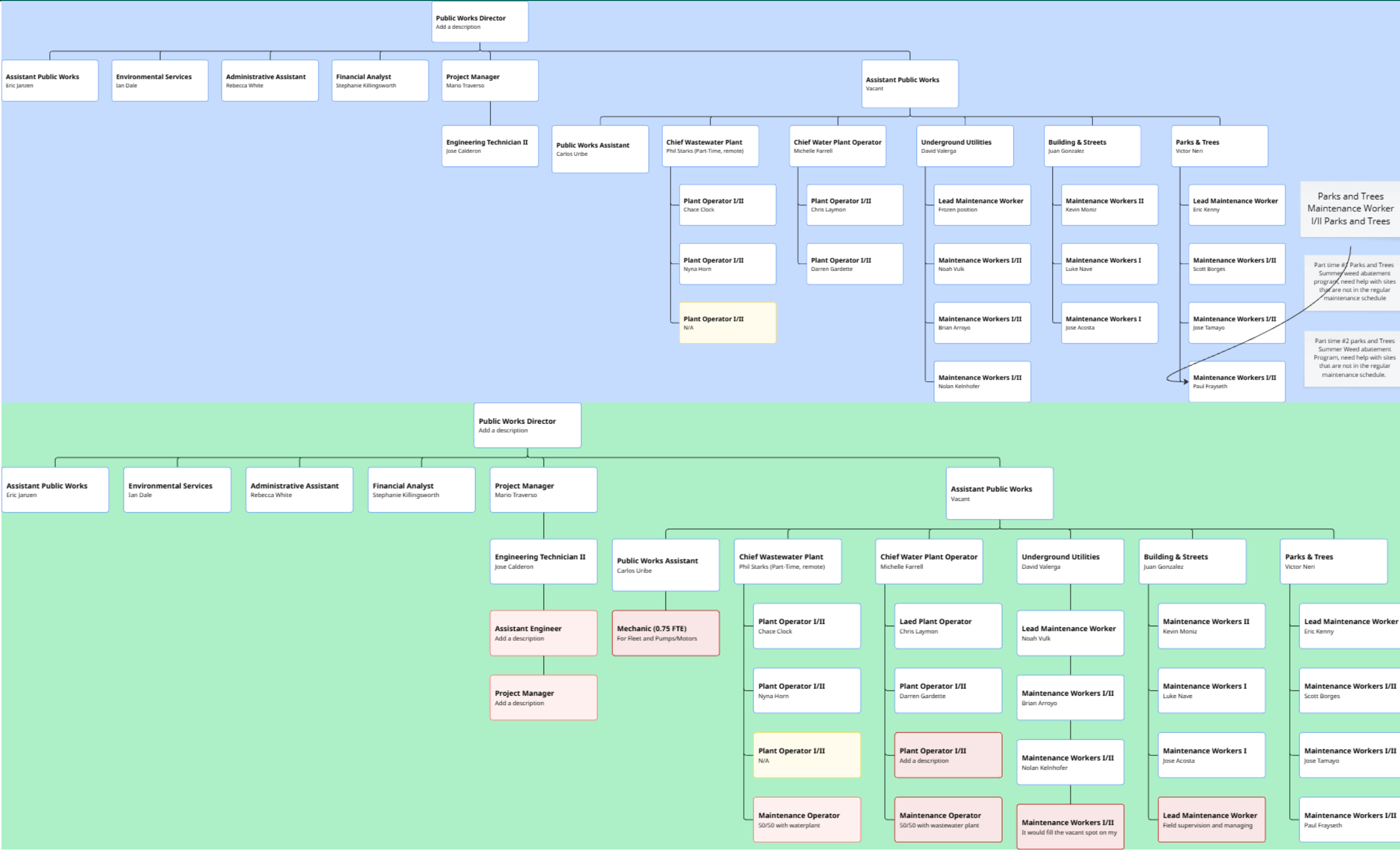


Figure 16 – Organizational Chart (Scenarios 1 & 2), Public Works.

The Following “SWOT Table” provides a complete listing of all SWOT items captured during Workshop 1.

SWOT Table		
Category	Item	Description
Strengths	Committed Team	Team is committed to fulfilling their duties and responsibilities
Strengths	Critical Infrastructure Services	Provides essential infrastructure services including roads, water, sewer, and waste management
Strengths	Institutional Knowledge	Continually building and maintaining institutional knowledge within the department
Strengths	Versatile Skill Set	Staff possesses diverse skills that can be applied across various public works functions
Strengths	CIP Project Delivery	Successful delivery of historic number and valuation of Capital Improvement Projects
Strengths	Dedicated Staff	Highly dedicated staff committed to public service
Strengths	Calm Leadership	Ability to look at situations in a calm and clear manner regardless of circumstances
Strengths	Staff Retention	Most staff are long-term employees providing continuity of service
Strengths	Pleasant Work Environment	Beautiful setting that enhances workplace satisfaction
Strengths	Job Satisfaction	Staff generally like their jobs and workplace environment
Strengths	Strong Teamwork	Strong teamwork ethic with staff willing to assist colleagues
Strengths	Diverse Workload	Diverse workload providing variety and preventing monotony
Strengths	Positive Work Environment	Great work environment that fosters productivity and satisfaction
Strengths	Strong Leadership	Supportive and strong directorship providing clear guidance
Strengths	New Treatment Plant	New wastewater treatment plant improving operational capabilities
Strengths	Independent Workers	Staff works well independently with minimal supervision
Strengths	Project Backlog Reduction	Successfully addressing backlog of projects
Strengths	Learning Motivation	Staff is motivated to learn new skills and improve capabilities
Strengths	Administrative Support	Strong administrative assistant providing essential support functions
Strengths	Interdepartmental Collaboration	Team has opportunities to collaborate with other departments
Strengths	Collaborative Dynamic	Collaborative team dynamic currently in place
Strengths	Helpful Staff Culture	Teamwork culture where staff is generally helpful and willing to assist colleagues
Strengths	Reliable Infrastructure Funding	Significant and reliable funding for water infrastructure rehabilitation
Weaknesses	Training Gaps	Team needs additional training on specific subjects

SWOT Table		
Category	Item	Description
Weaknesses	Limited Continuing Education	Lack of seminars to continue education and professional development
Weaknesses	Process Bottlenecks	Some bottlenecks remain in operational processes
Weaknesses	Unrealistic Public Expectations	Unreasonable community expectations regarding service delivery
Weaknesses	Change Resistance	Resistance to change within the organization
Weaknesses	Crisis Management	Operating from crisis response rather than long-term strategy
Weaknesses	Preventable Errors	"Avoidable" "mistakes" occurring in operations
Weaknesses	Undefined Task Responsibilities	Undefined roles for miscellaneous tasks leading to confusion
Weaknesses	Inconsistent Accountability	Lack of consistent accountability across the department
Weaknesses	Morale Issues	Low staff morale from other departments leaks into and affects morale in Public Works
Weaknesses	Board Communication Gap	Lack of communication with city board that has options on the wastewater plant
Weaknesses	Infrastructure Knowledge Gaps	Lack of institutional knowledge/records of infrastructure resulting in time wasted in research
Weaknesses	Disaster Training Deficiency	Lack of interdepartmental disaster training
Weaknesses	Inconsistent Interdepartmental Guidance	Ever-changing guidance for interdepartmental tasks
Weaknesses	Poor Documentation	Lack of documented information combined with poor organizational filing structure
Weaknesses	Training Tracking Deficiency	Lack of systematic tracking of staff training, development, and certifications
Weaknesses	Email Overload	Email volume and inability to process communications efficiently
Weaknesses	Communication Issues	Communication matrix problems affecting information flow
Weaknesses	Institutional Memory Loss	Lack of staff with years under their belt who know the city and its history
Weaknesses	Staffing Shortages	Service workload in all/most divisions too great compared to available staff
Weaknesses	Limited Cross-Training	Lack of staff limits opportunities to cross train
Weaknesses	Incomplete Daily Tasks	Unable to finish some daily tasks due to staff shortages
Weaknesses	Outdated Processes	Process and procedure not keeping up with demand
Weaknesses	Lack of Standard Procedures	Lack of SOPs and other formal procedures
Weaknesses	Strategic Distraction	Management/policy makers easily distracted from Strategic Goals
Opportunities	Interdepartmental Collaboration	Team has opportunities to collaborate with other departments
Opportunities	Cross-Training Development	Crew cross-training to enhance versatility and coverage
Opportunities	Administrative Capability Growth	Increasing administrative capabilities to improve efficiency

SWOT Table		
Category	Item	Description
Opportunities	Technology Adoption	Staff open to new tech/systems that can improve operations
Opportunities	In-house Training Program	Training new staff in house to ensure consistent knowledge transfer
Opportunities	Professional Development	Certification advancements and trainings to enhance staff capabilities
Opportunities	Departmental Cross-Training	Cross training in other departments to increase organizational flexibility
Opportunities	Trail System Development	Develop world-renowned trail system as a community asset
Opportunities	Permit Process Enhancement	Enhance customer experience with Encroachment Permit process
Opportunities	Team Dynamic Improvement	Collaborative team dynamic that can be further strengthened
Opportunities	Council Support	Council generally supportive of staff recommendations
Opportunities	Strategic Certification	Facilitate strategic certifications at accredited colleges or universities
Opportunities	Field Staff Capabilities	Increased administrative capabilities for Field Staff
Opportunities	Task Efficiency	Timely task completion through improved processes
Opportunities	Water Infrastructure Rehabilitation	Within 5 years, will have completed significant rehab of water systems infrastructure
Opportunities	Contract Process Improvement	Decrease contract initiation/execution window
Opportunities	Pavement Condition Improvement	Achieve Pavement Condition Index of 80 within 2 years
Opportunities	Payment Processing Efficiency	Increase efficiency of accounts payable, i.e. decrease payment window
Opportunities	Interdepartmental Process Improvement	Increase efficiency of development services process/collaboration between ComDev & PW
Opportunities	Cost Recovery Enhancement	Increase cost recovery for various department services (e.g. stormwater utility fee)
Opportunities	Public Education	New wastewater plant provides opportunity to educate public about importance of water treatment
Opportunities	Staff Expansion	Given magnitude and sustainability of Water CIP, could support additional staff member for project delivery
Threats	Cross-Training Limitations	Lack of staff limits opportunities to cross train
Threats	Knowledge Loss	Loss of institutional knowledge when staff leaves
Threats	Budget Constraints	Budget limitations affecting operations and improvements
Threats	Staff Burnout	Staff burnout due to workload and stress
Threats	Natural Disasters	Natural disasters (floods, wild fires) threatening infrastructure
Threats	Aging Infrastructure	Neglected and aging infrastructure requiring increased maintenance
Threats	Public Perception Issues	Public perception challenges affecting department credibility

SWOT Table		
Category	Item	Description
Threats	Procedural Gaps	Lack of SOPs and other formal procedures creating operational risks
Threats	Communication Challenges	Challenges with facility-to-facility communications
Threats	Public Trust Deficit	Community lack of trust in government affecting support for revenue increases
Threats	Training Time Constraints	Limited time for quality training of peers
Threats	Customer Service Challenges	Customer service expectations difficult to meet with current resources
Threats	Maintenance Funding Gap	Lack of dedicated funding for preventative maintenance for aging government buildings
Threats	Position Freezes	Frozen positions limiting staffing flexibility
Threats	Career Advancement Limitations	Lack of growth/advancement opportunities affecting retention
Threats	Strategic Focus Challenges	Management/policy makers easily distracted from Strategic Goals
Threats	Wastewater Funding Gap	Lack of sustainable funding for wastewater systems rehabilitation
Threats	Collection System Issues	Poor infrastructure (collection system) causes inflow and infiltration for wastewater treatment plant
Threats	Regulatory Compliance Burden	Growing liabilities from new equipment, laws, and regulation compliance
Threats	Water Chemistry Challenges	Constantly changing raw water chemistry affecting treatment processes
Threats	Cybersecurity Vulnerabilities	PW IT systems (i.e. SCADA) vulnerable to hacking
Threats	Inadequate Facilities	Yard not big enough to stage equipment, no video surveillance
Threats	Electrical Grid Reliability	Lack of reliable electrical grid affecting operations
Threats	Infrastructure Deterioration	Old infrastructure leading to more failures and costly repairs
Threats	Budget Insufficiency	The current budget is not sufficient to cover all necessary maintenance needs
Threats	Accelerating Infrastructure Failure	Aging Infrastructure causing repairs to become more frequent and expensive as failures accelerate
Threats	Preventative Maintenance Staffing	Lack of staffing to efficiently plan and enforce preventative maintenance across all departments

4.3. Workshop 2 Overview and Results

Blackberg hosted 1 Workshop 2 event on December 17, 2025. Workshop 2 included the City’s Executive Managers and City Manager. The purpose of Workshop 2 was similar to Workshop 1; however, the scope expanded to a full citywide view of roles, responsibilities, capabilities, hierarchy, gaps, lines of reporting, strategic partnerships, etc. Further, Blackberg instructed all participants to review the output of Workshop 1 prior to Workshop 2. Workshop 2 included a SWOT Board, but unlike Workshop 1, it also included a Workload Grid, Pain-Points Board, and Customer Needs and Expectations Board. In the figures below, we provide an overview of each new board for Workshop 2.

Workload Grid (Figure 17). Each Department documented its workload intensity with color-coded “sticky notes” with pink = high, yellow = medium, and green = low. The Workload Grid further delineated input by “internal”, “seasonal”, and “contractor.”

Pain-Points Board (Figure 18). Each Department documented its most significant challenges on the Pain-Points Board. The board uses a “target” visual aid with the center circle representing the most severe pain-points and the outer circle representing the minor pain points.

Customer Needs and Expectations Board (Figure 18). Each Department documented what it views as customer needs and expectations. The board delineated input by Department and by customer type. The three customer types on the board are “Residents”, “Businesses”, and “Visitors.”

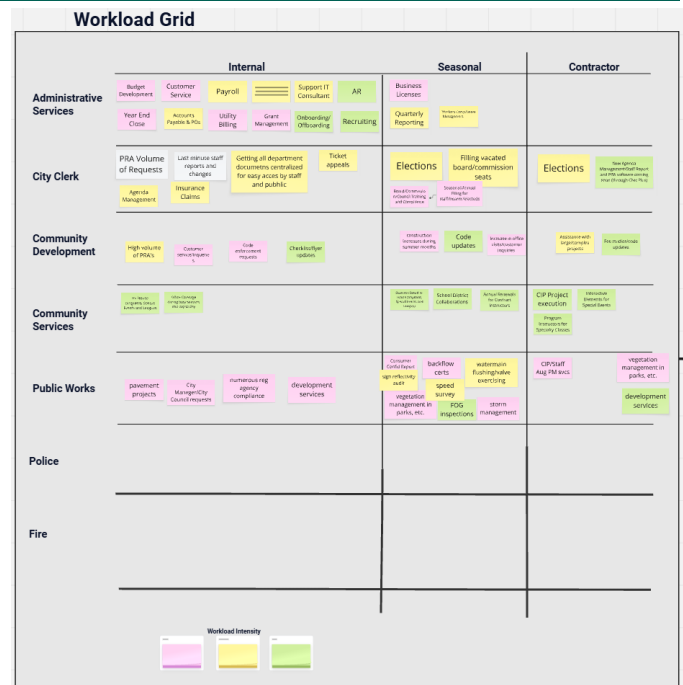


Figure 17 – Workload Grid.

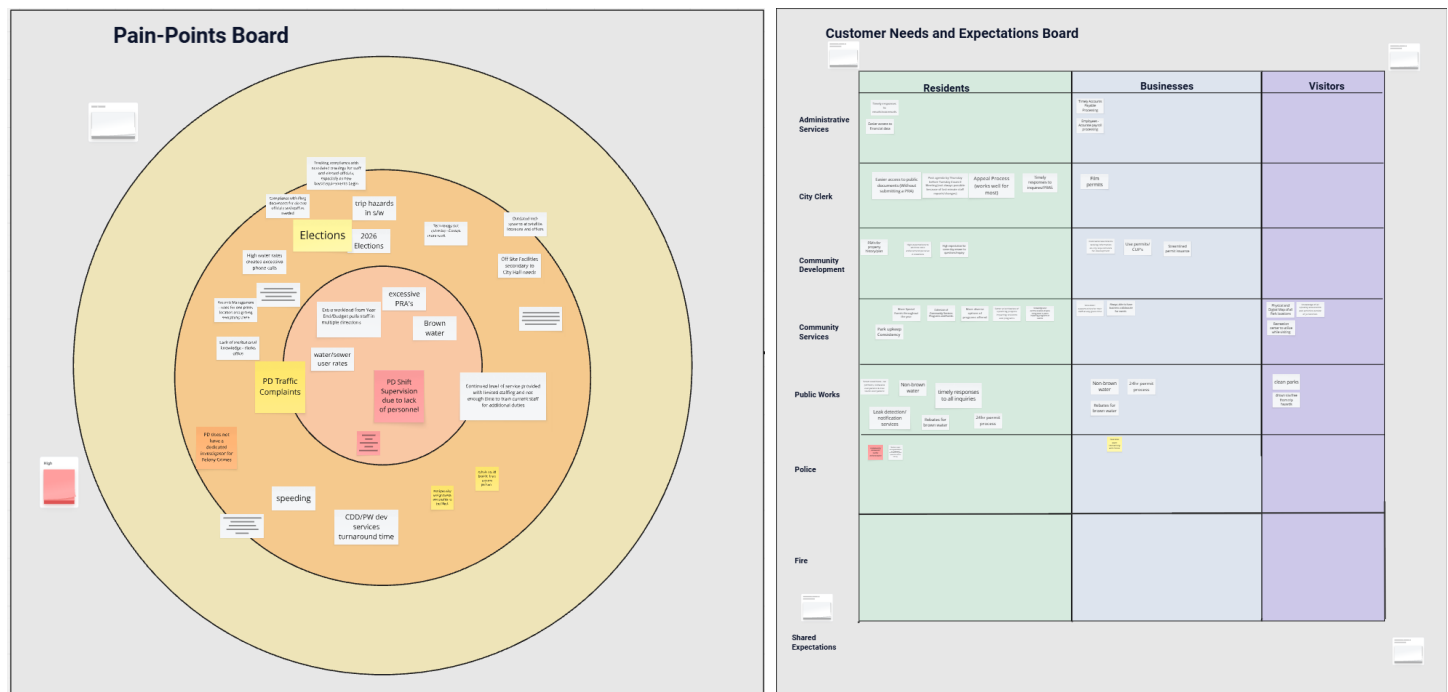


Figure 18 – Pain-Points Board (left side) and Customer Needs and Expectations Board (right side).

4.3.1. Workflow and Outcomes

Please see **Figure 19** for an overview of Workshop 2's activities. Once the executive team completed input for the Workload Grid, Pain-Points Board, and Customer Needs and Expectations Board, they advanced to a SWOT Board to explore:

- 1) What staffing is needed for the workload
- 2) What staffing is needed to address pain-points, and
- 3) What staffing is needed to address customer needs and expectations.

Blackberg facilitated the executive team's exploration and documentation of the City's strengths, weaknesses, opportunities, and threats within the context of the aforementioned boards and other considerations from Workshop 1. Upon completion of the SWOT Board, Blackberg facilitated two scenarios for development of proposed organizational charts (seen on the far right of Figure 19 with a green and blue background). In scenario 1 (green background), the executive team explored changes within the constraint of being able to hire 5 new positions. In scenario 2 (blue background), the executive team explored changes without any constraints.

To further explore prioritization of new hires, Blackberg asked the executive team to place votes on which proposed new hires are seen as most important. This was done by allowing each Department to have 5 voting chips in Miro. They could place the chips down on any position they thought was most important for hiring. The results of the vote resulted with 9 votes for adding Police Officers; 6 votes for adding an HR Manager; 5 votes for adding a Code Enforcement/ Building Inspector; 3 votes for a Grant Writer/Manager; 3 votes for a Project Manager; 3 votes for a Mechanic – Fleet & Equipment; 2 votes for a Records Manager; 2 votes for Recreation Coordinator; and 2 votes for a second Recreation Coordinator.

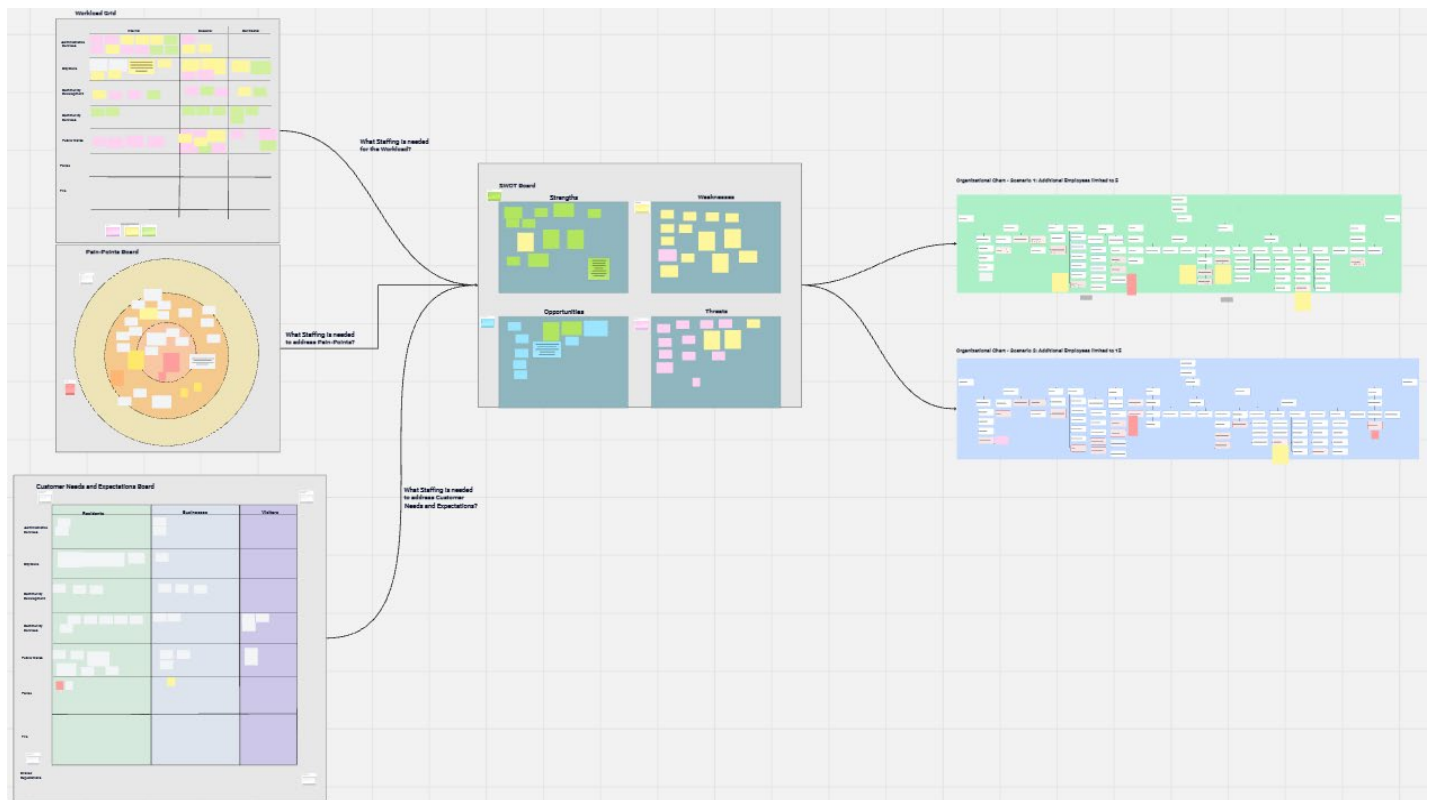


Figure 19 – Overview of Workshop 2's Activities.

4.3.2. Data from the Boards

This section contains the comments left by City participants on each board in Workshop 2.

Workload Grid.

The following tables contain all input from the Workload Grid.

Administrative Services – Workload Grid			
Workload Intensity	Internal	Seasonal	Contractor
High	Budget Development	Business Licenses	
High	Customer Service		
High	Year End Close		
High	Utility Billing		
High	Grant Management		
Medium	Payroll		
Medium	General Accounting (Bank Rec, Budget Adjustments, Reconciliations, Journals...	Quarterly Reporting	
Medium	Support IT Consultant	Workers Comp/Leave Management	
Medium	Accounts Payable and POs		
Low	AR		
Low	Onboarding/Offboarding		
Low	Recruiting		

City Clerk – Workload Grid			
Workload Intensity	Internal	Seasonal	Contractor
High		Board / Commission / Council Training and Compliance	
High		Seasonal/Annual filing for staff, boards, and “electeds”.	
Medium	PRA Volume of Requests	Elections	Elections
Medium	Last minute staff reports and changes	Filling vacated board/ commission seats	
Medium	Agenda management		
Medium	Insurance claims		
Medium	Getting all department documents centralized for easy access by staff and public		
Medium	Ticket appeals		
Low			New Agenda Management/Staff Report and PRA software coming soon (through Civic Plus)

Community Development– Workload Grid			
Workload Intensity	Internal	Seasonal	Contractor
High	Customer service/ inquiries	Construction increases during summer months	

Community Development– Workload Grid			
Workload Intensity	Internal	Seasonal	Contractor
High	Code enforcement requests	Increase in office visits / customer inquiries	
Medium	High volume of PRA's		Assistance with large / complex projects
Low	Checklist/ flyer updates	Code updates	Fee studies/ code updates

Community Services – Workload Grid			
Workload Intensity	Internal	Seasonal	Contractor
Low	In- House programs, Special Events and Leagues	Seasonal Based In- House programs, Special Events and Leagues	CIP Project execution
Low	Office Coverage during busy seasons and day to day	School District Collaborations	Interactive Elements for Special Events
Low		Annual Renewals for Contract Instructors	Program Instructors for Specialty Classes

Public Works – Workload Grid			
Workload Intensity	Internal	Seasonal	Contractor
High	Pavement projects	Consumer Confidence Report	CIP/ Staff Aug PM svcs
High	City Manager/ City Council requests	Backflow certs	Vegetation management in parks, etc.
High	Numerous regulatory agency compliance	Vegetation management in parks, etc.	
High	Development services	Storm managements	
Medium		Sign reflectivity audit	
Medium		Speed survey	
Medium		Watermain flushing/ valve exercising	
Low		FOG inspections	Development services

Pain-Points Board.

The following table contains all input from the Pain-Points Board.

Intensity	Pain-Point Description
High	Excessive PRA's
High	Brown Water
High	Extra workload from Year End/Budget pulls staff in multiple directions
High	Water / sewer user rates
High	PD Shift Supervision due to lack of personnel
High	Changing State mandates on police requirements
Moderate	Tracking compliance with mandated trainings for staff and elected officials, especially as new laws/requirements begin
Moderate	trip hazards in s/w
Moderate	Compliance with filing documents for elected officials and staff as needed
Moderate	Elections
Moderate	2026 Elections
Moderate	Technology not cohesive - Causes more work
Moderate	Outdated tech systems at satellite locations and offices
Moderate	Off Site Facilities secondary to City Hall needs

Intensity	Pain-Point Description
Moderate	Community Expectations of Services pull staff into many different directions and roles to produce expectations
Moderate	Continued level of service provided with limited staffing and not enough time to train current staff for additional duties
Moderate	Admin could benefit from a grant person
Moderate	PD Specialty assignments are unable to be filled.
Moderate	CDD/PW dev services turnaround time
Moderate	speeding
Moderate	Other Departments covering duties not in their department to meet community and internal standards
Moderate	PD does not have a dedicated investigator for Felony Crimes
Moderate	PD Traffic Complaints
Moderate	Lack of institutional knowledge - clerks office
Moderate	Records Management - need for one prime location and getting everything there
Moderate	centralized document storage for all departments for easier access by community/staff for PRAs
Moderate	High water rates creates excessive phone calls

Customer Needs and Expectations Board.

The following table contains all input from the Customer Needs and Expectations Board.

Customer Needs and Expectations Board			
Department	Residents	Businesses	Visitors
Administrative Services	Timely responses to emails/voicemails	Timely Accounts Payable Processing	
Administrative Services	Easier access to financial data	Employees - Accurate payroll processing	
City Clerk	Easier access to public documents (Without submitting a PRA)	Film permits	
City Clerk	Post agenda by Thursday before Tuesday Council Meeting (not always possible because of last minute staff reports/changes)		
City Clerk	Appeal Process (works well for most)		
City Clerk	Timely responses to inquires/PRAS		
Community Development	PRA's for property history/plan	Contractors/architects seeking information on city requirements for development	
Community Development	High expectations to address code enforcement/perceived violations	Use permits/ CUP's	
Community Development	High expectation for same-day answer to questions/inquiry	Streamlined permit issuance	
Community Services	Park upkeep Consistency	Volunteer opportunities for their staff at any given time	Physical and Digital Map of all Park locations
Community Services	More Special Events throughout the year	Always able to have business collaborate for events	Recreation center to utilize while visiting

Customer Needs and Expectations Board			
Department	Residents	Businesses	Visitors
Community Services	Cohesion of Community Services Programs and Events		Knowledge of all upvalley area events and activities outside of jurisdiction
Community Services	More diverse options of programs offered		
Community Services	Better prioritization of upcoming projects impacting residents and programs		
Community Services	Knowledge and communication of work being done in parks impacting programs or events		
Public Works	Street conditions - no potholes, sidewalks everywhere & bike routes everywhere	Non-brown water	clean parks
Public Works	Non-brown water	Rebates for brown water	dntwn s/w free from trip hazards
Public Works	timely responses to all inquiries	24hr permit process	
Public Works	Leak detection/ notification services		
Public Works	Rebates for brown water		
Public Works	24hr permit process		
Police	Community demands traffic enforcement	Business want interactivity with Police	
Police	Residents want more presentations on Ca law and criminal activity and prevention within the city		

SWOT Board.

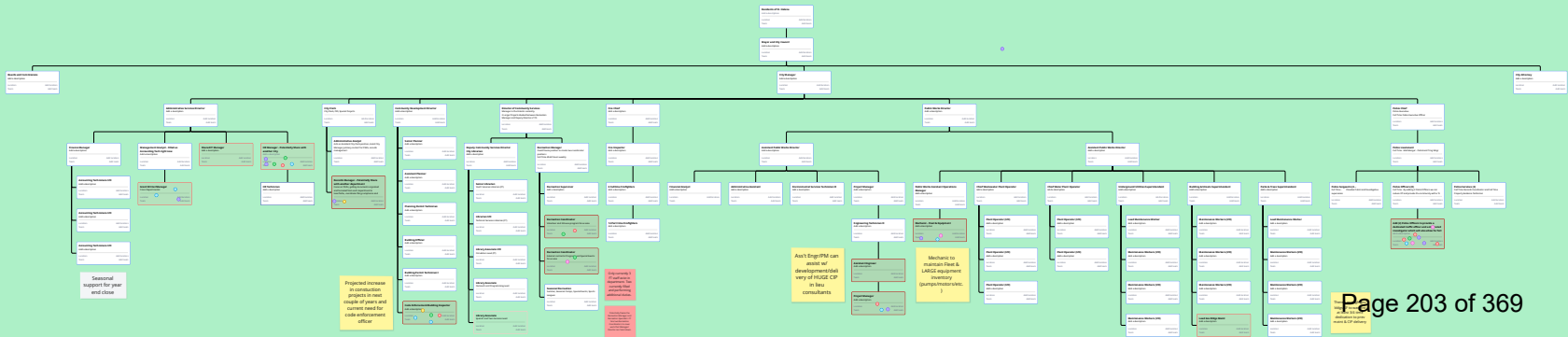
The following table provides a complete listing of all SWOT elements documented by the executive team during Workshop 2.

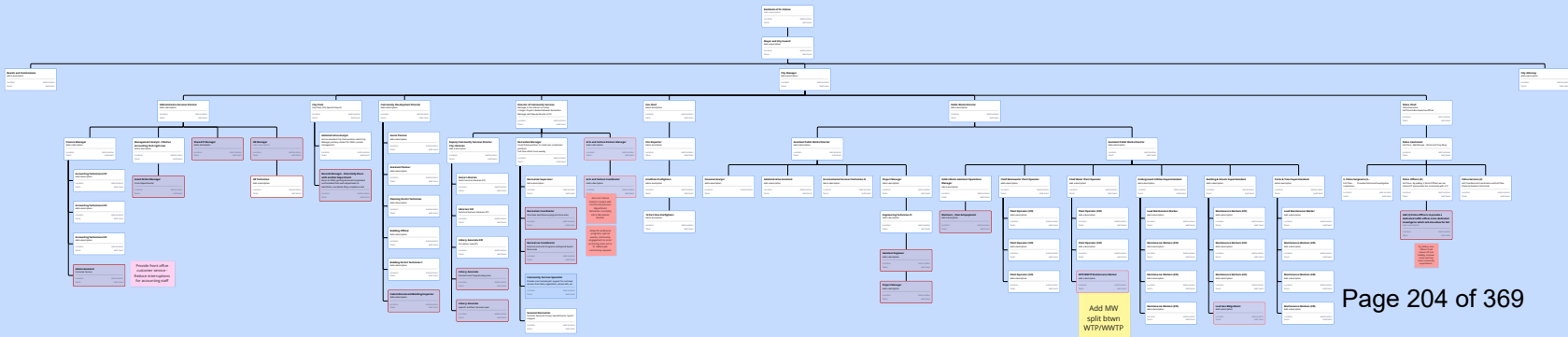
SWOT Table	
Category	Description
Strength	Highly trained/certified staff and PD officers well-trained compared to other Bay Area agencies
Strength	PD has excellent community rapport
Strength	High cross-department collaboration with limited internal resistance
Strength	Great customer service and responsive to information requests
Strength	City willing to fund training
Strength	Highly motivated staff willing to adapt to city needs
Strength	Community Services has community trust and collaboration
Strength	\$\$ available for Water Improvements
Weakness	Staffing at capacity limits—PT staff doing FT work, multiple roles stretching people thin
Weakness	Limited institutional knowledge (many new staff, knowledge gaps in departments)
Weakness	Not having records in one location
Weakness	Time management challenges when everything's a priority

SWOT Table	
Category	Description
Weakness	PD can't cover shifts without OT or fill ancillary duties (motor, traffic, investigators)
Weakness	Backlog of work due to staffing shortages
Weakness	Lack of staff for larger/complex projects
Opportunity	New agenda management software integrating with website
Opportunity	Working to get documents online/searchable for PRAs
Opportunity	Cross training for better coverage
Opportunity	Improve use of current technology/systems
Opportunity	Contract/cost recovery for PW Dev Services
Opportunity	Privatize or county-ize library
Opportunity	Professional development with department growth
Opportunity	Combine with NSO for perishable skills training (save \$\$ on state-mandated training)
Opportunity	Actively working with other clerks for best practices
Opportunity	Help departments with special events
Opportunity	Re-establish Recreation Division with current staffing
Threat	Staff turnover/burnout from noncompetitive wages and workload
Threat	Competitive labor market—surrounding agencies hiring your officers
Threat	Shoestring budget causing substandard services
Threat	Short staffing eliminates supervision = liability risk
Threat	Contract services lower morale, don't save funds long-term
Threat	Constant outsourcing threats
Threat	Public distrust in processes
Threat	Excessive PRAs
Threat	Lack of revenues
Threat	Equipment budgeted but not approved (lack of council info)
Threat	Limited HR staff = compliance risk for leaves
Threat	Compliance with training/paperwork filings
Threat	Potential cuts to non-essential services

Citywide Organizational Charts

On the following two pages, we include the citywide Organizational Charts.





5.0 St. Helena Staffing, Organization, and Controls

In this section, Blackberg examines St. Helena's (City) organizational chart, span and control, the number of staff, and centralization or decentralization of certain functions. This section includes Blackberg's opinions, recommendations, and findings. This section does not contain the recommendations and opinion of City employees. Please see **Figure 20** on the next page for an overview of the City's most current Organizational Chart. We will reference this Organizational Chart throughout the next subsection. Please note that this Organizational Chart contains inaccurate information; however, at the time of this writing, it is the City's most current available.

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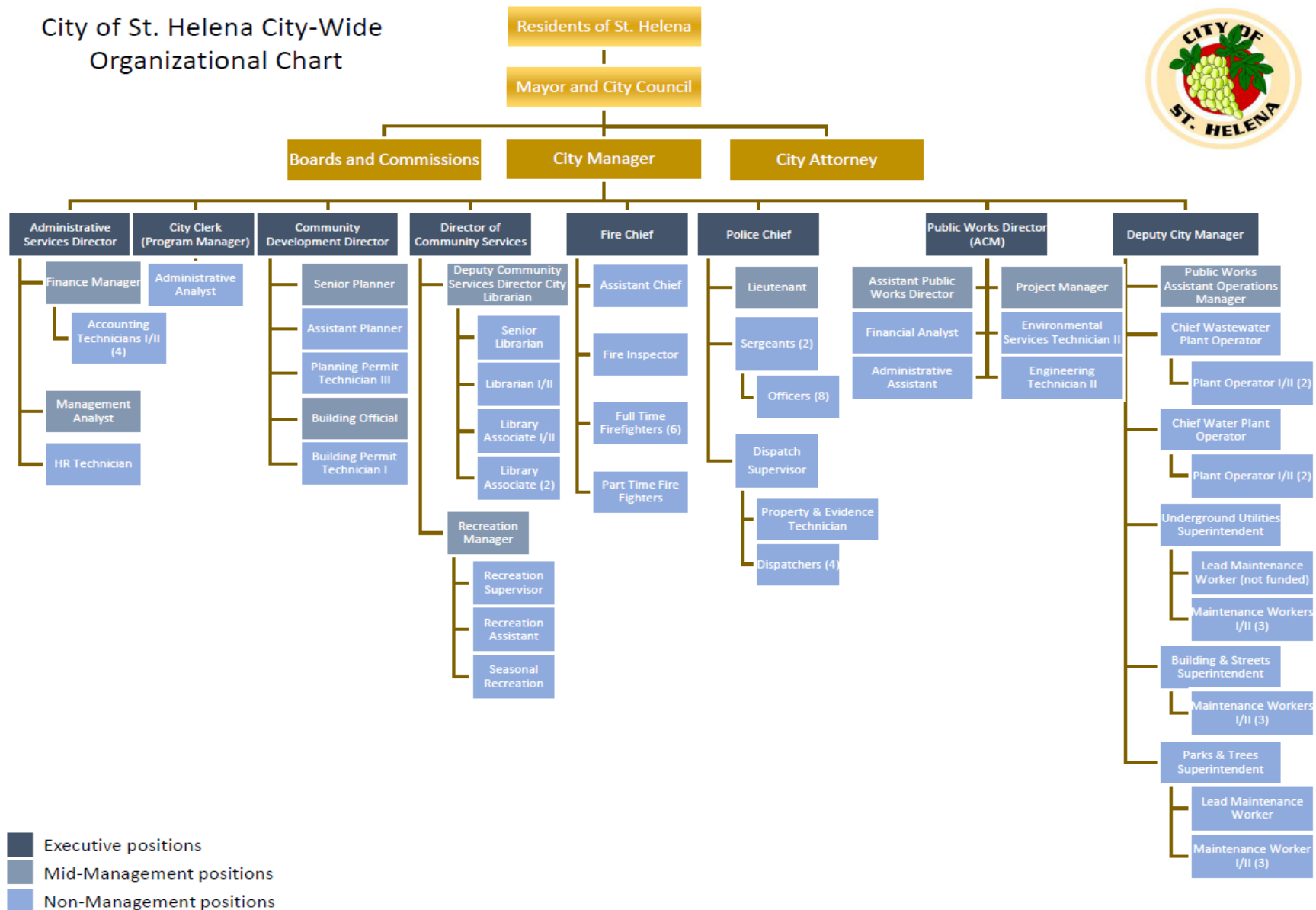


Figure 20 – St. Helena Citywide Organization Chart: This is the most current, available organization chart for the City as of November 5, 2025.

5.1. Concerns, Discussions, and Recommendations

5.1.1. Financial Analyst

There is a Financial Analyst position under Public Works Director. Our primary concern is that this individual reports to the Director of Public Works. Any financial or accounting oriented professionals within the City should report to the Administrative Services Director (or Finance Manager who reports to the Administrative Services Director). The current structure creates potential conflicts of interest and does not use best practices for maintaining checks and balances within the City.

The Government Finance Officers Association (GFOA), the leading national authority on municipal finance (and a key resource for California's affiliate, the California Society of Municipal Finance Officers or CSMFO), strongly recommends centralized financial management to ensure independence and accountability. Key points:

- **Internal Controls and Segregation of Duties:** GFOA's Internal Control for Local Government emphasizes that financial reporting functions (like analysis) should be independent from operational departments to avoid bias. Having a financial analyst report to the Public Works Director—whose budget they're likely reviewing—could violate this by blurring lines between oversight and the entity being assessed, potentially leading to "impaired objectivity."
- **Organizational Structure for Finance:** In Recommended Best Practices for Financial Management, GFOA advises that all accounting, budgeting, and financial analysis roles report to a central finance officer (e.g., Director of Accounting and Finance) for uniform oversight.

Further, the California Government Code and State Oversight Requirements provide some relevant input:

- **Uniform Accounting and Reporting** (Gov. Code § 26800 et seq.): explains that counties must follow State Controller Office (SCO) prescribed uniform procedures for financial transactions and reporting. The SCO's Accounting Standards and Procedures for counties requires "centralized control" over accounting functions to ensure consistency and prevent departmental silos. A financial analyst under Public Works might not meet this if they're handling cross-departmental analysis without finance director review.
- **Conflict of Interest Prohibitions** (Gov. Code § 1090 and FPPC Rules): Under the Political Reform Act (Gov. Code § 81000 et seq.), officials can't have financial interests that conflict with duties. While this applies more to decisions, an analyst reporting to the department they audit could create an appearance of impropriety, especially if it affects budget approvals. The Fair Political Practices Commission (FPPC) views this as a risk for "incompatible offices/roles."

While we do not believe St. Helena is violating any code or policy, we do believe St. Helena should follow best practices and consider the general spirit of the GFOA guidance and California Code.

Recommendation: We recommend that St. Helena move the Public Works financial analyst position under Administrative Services. The financial analyst should report to either the Administrative Services Director or to the Finance Manager who is under the Administrative Services Director. We also emphasize that we do not provide this recommendation in isolation of other findings. Previously, we found multiple concerning issues that create an environment within the City that is ripe for impropriety (some examples):

- There is a severe lack of management systems within the City. This includes asset management systems and general operational management systems.
- There is a severe lack of situational awareness in the City. All Departments and executives lack quantitative and qualitative data concerning ongoing operations and project status. This includes almost a total lack of benchmark data. We noted that these concerns are particularly acute in Public Works.

- The current accounting and financial personnel are substantially lacking in general resources. This includes a lack of full implementation of the automation features in its SaaS solution. These same personnel have expressed an inability to “catch up with the workload.”
- The City is facing significant budget shortfalls, but there is general confusion about the magnitude and accuracy of the shortfalls. Baker Tilly provided a report that they communicated as “independent”; however, a quick review immediately called into question the independence because Baker Tilly later states that City staff were a primary source of input (particularly with staff salary increase recommendations and staff number recommendations). This is a clear conflict of interest. Further, the second main driver of the Baker Tilly analysis was data from the Public Works Department. However, based on our own examination of Public Works and input from multiple individuals (city staff, city managers, and committee members), Public Works is severely lacking in any data, which immediately calls into question the accuracy or quality of that input.
- Based on an interview with an executive manager, we know that Public Works historically did not reasonably use its own staff to complete work; rather, Public Works relied on contractors to “perform all the work.” We understand that management direction has since changed on this subject; however, we also understand that City employees lack the skills to perform much of the work that would be typically expected for performance.

5.1.2. Community Services Department - Library

In Blackberg’s “Deliverable 2: Information and Insight Analysis (Section 5.1.3),” we examined performance ratios for the Library relative to the national Public Libraries Survey⁵ (PLS) data for 2023. Based on the performance ratios, the Library is performing extremely well. Further, the Library’s general management and management systems are much more mature than all other Departments within the City.

Blackberg’s concern for the Library is that expenses are high relative to other Libraries in cities of similar size to St. Helena. To examine this, we compare St. Helena’s Library to PLS averages for cities that report a population size of 4,801 – 5,598. PLS sources its data from across the country; so, a large amount of the salary data

Public Libraries Survey Data		
Data Titles	St. Helena	Average
Number of Staff with MLS degree	2	0.73
Total Staff	6.02	4.24
Total Staff Salaries Annually	\$532,300	\$171,044
Total Operating Expenses Annually	\$1,088,792	\$316,959

comes from small towns located in areas with a much lower cost of living than St. Helena. This undoubtedly affects the averages. Further, when examining Total Staff Salaries Annually, be aware that the staff count differences dramatically affect the averages. Our biggest consideration with the Library is total number of staff and the two staff with an MLS degree. In many cities of similar size, this represents a higher-than-average number of staff. Our concerns are not centered on salary amounts.

Recommendation: The Library is performing well based on performance ratios. Blackberg does not believe that there are any significant efficiencies to be gained by adjusting staff, automation, or process improvements. The City is receiving services from the Library that are significantly higher than average in terms of both quality and quantity. However, the City is also paying higher than average for that quality and quantity. If it chooses to reduce staffing, it will reduce the quality and quantity of services available, but it will save money. However, if it maintains staffing, it will continue to pay a higher than average cost, but it is receiving excellent quality and quantity of services as a result.

Blackberg’s primary recommendation is that the City does not let the Library continue to exist in a state of limbo in which Library staff are constantly worried that “cuts might come at any moment.” This is very unhealthy for Library morale. Our secondary recommendation is to explore other sources of revenue. There are interventions that could increase revenue for the Library. First, the Library could add a Starbucks-style café inside the Library, like those in some Barnes and Noble bookstores. Second, the Library could construct small, personal office space for short-term and long-term rentals.

⁵ Public Libraries Survey, <https://www.ims.gov/research-evaluation/surveys/public-libraries-survey-pls>, October 05, 2025.

5.1.3. Community Services Department - Broadly

The Community Services Department is a combination of the Library and Recreation (See **Figure 21**). Blackberg understands that there are some overlaps between community events planned that involve both the Library and Recreation; however, we do not see the need to have a fully dedicated Director of Community Services. The primary purpose of this position is to coordinate activities between the Library and Recreation. However, the size and scope of joint activities between the Library and Recreation does not justify the position.

Recommendation: Blackberg recommends that the City eliminates the Director of Community Services position. Recreation and Library will exist as two separate Departments that report directly to the City Manager. The City Librarian and the Recreation Manager can coordinate with each other when needed. In the rare circumstances in which a situation needs to be elevated, the City Manager can address the concern.

When we compared the City Organization chart to the “Position Control” Excel sheet that shows funded positions, we noted that there are only two funded positions for Recreation: Recreation Manager and Recreation Supervisor. There is also a Recreation Coordinator, but it is noted as “Not Funded.” However, with the loss of the Director of Community Services Position, that was placed under Recreation in Position Control, the City could afford a second Recreation Supervisor. Therefore, in our future state recommendation (See **Figure 22**), we show two Recreation Supervisors.

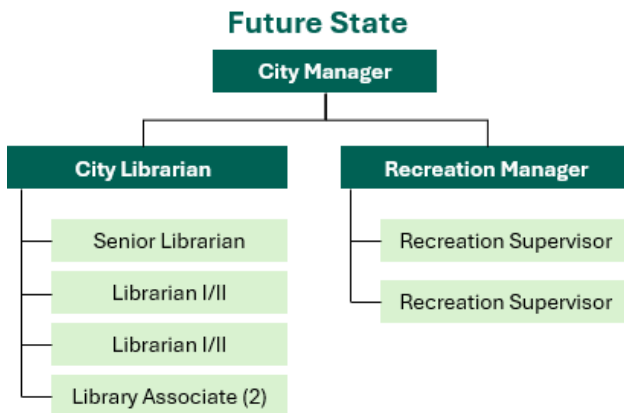


Figure 22 – Proposed Future State, Community Services.

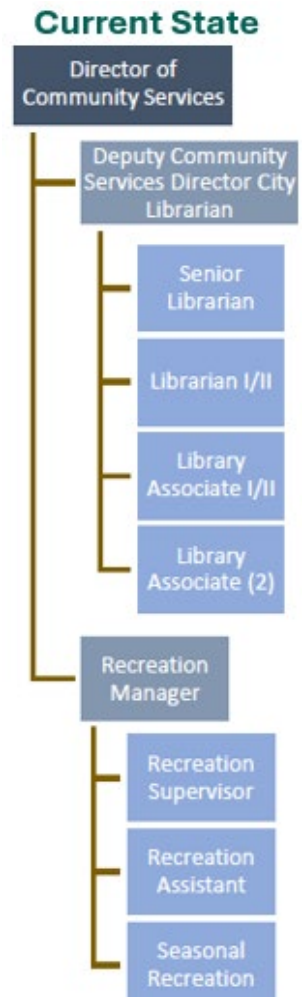


Figure 21 – Current State, Community Services.

5.1.4. Administrative Services Department

During our structured interviews, we heard from 10+ city employees that accounting and finance are having severe performance challenges. We also met with individuals within Administrative Services who admitted to many of these challenges, including various backlogs and not enough time to fully use the IT System. There are currently 6 individuals within Administrative Services supporting finance and accounting; plus, there is 1 individual serving as HR Technician. It is also noteworthy to understand that Apex manages the City’s IT, and Apex reports to Administrative Services. Further, “special projects” are also sent to Administrative Services. These may include grants, FEMA, affordable housing topics, and general studies. Additionally, there is a Financial Analyst supporting Public Works that should be aligned under Administrative Services. If you include this Public Works Financial Analyst, the City has 7 FTEs supporting accounting and finance.

In our experience, a 7 FTE count in finance and accounting for a city of St. Helena's size is high. To confirm this, we conducted research and identified a 2022 study from Wasco, CA that was presented at the 2022 California Society of Municipal Finance Officers (CSMFO) Annual Conference⁶. This presentation provided benchmark data on 7 cities in California (See **Figure 23**). Based on the benchmarks, St. Helena's staffing is comparable to a city with a population of 20,000+ individuals.

However, the City currently lacks a mature accounting system and accounting processes. This significantly hampers any staff reduction goals. Further, there are integration issues amongst the different IT systems being used by the City for accounting. This further complicates the workload and makes any staff reductions in the short term impossible. In short, the high staffing is likely necessary at this time because of below average use of IT systems, automation, and process maturity.

Finance Staffing Benchmarks

City	Finance & Accounting Staff Count	Population
Riverbank	6.5	26,000.00
Lemoore	7.5	27,000.00
Shafter	8	23,000.00
Wasco	9	27,000.00
Galt	11	27,000.00
Lathrop	12	41,000.00
Dinuba	14	25,833.00

Figure 23 – Finance & Accounting Staffing Benchmarks.

Recommendation: We provide the recommended actions in the table below. The City should be aware that an Administrative Services Director (Executive Accounting/Finance role) is one of two common paths to City Manager (the other path being Director of Public Works). Therefore, with both the Administrative Services Director and Finance Manager roles, the City should be asking if the individual has the foundational capabilities/qualifications to become the City Manager in 5-10 years. This is the concept of “strategic staffing.” When we initially proposed this as an example strategy that should be in the Talent Management Plan, it was immediately met with resistance by City management via email: “Administrative Services Director to City Manager ... this is true, but sometimes with that position or Public Works, the person who is in that position doesn't want to be a City Manager, they like where they are/don't want to be a City Manager for a variety of reasons. So, I don't think it's fair to say/infer the person needs to want to be on that track.” Although we see such a reaction as unfortunate, we do believe it to be indicative of the culture being created by some of the executive management team within the City.

Critical Note: In our recommendations below, we do not recommend nor advocate for terminating anyone who does not have the recommended qualifications. Rather, our recommendations are long-term goals that should be codified in the Talent Management Plan and advanced in future years with natural attrition of positions.

Steps	Minimum Capabilities
Step 1	Evaluate Accounting and Financial Personnel Capabilities – The City must ensure that its financial and accounting personnel have the minimal capabilities needed for success, and ideally, it should establish a set of standard and preferred capabilities. To support this process, Blackberg recommends the following <u>minimal</u> capabilities for the roles: 1) Administrative Services Director: Minimal capabilities include 10+ years of relevant experience in accounting; bachelor's or master's degree in accounting from an accredited college; Certified Public Accountant (CPA) license in the State of California; and expert knowledge of accounting software. 2) Finance Manager: Minimum capabilities include 8+ years of relevant experience in accounting; bachelor's or master's degree in accounting from an accredited college; CPA or Certified Management Accountant (CMA) license in the State of California, and proficient knowledge of accounting software. 3) Accounting Technician II: Minimum capabilities include 4+ years of relevant experience in bookkeeping; associate's degree in accounting, finance, or business; and experience with accounting software.

⁶Statler, William C., “Benchmarking”, <https://archive.csmfo.org/wp-content/uploads/2022/02/Benchmarking-A-Better-Tool-than-You-Think-Statler.pdf>, February 17, 2022, p. 106.

	4) Accounting Technician I: Minimum capabilities include 0-1 years of relevant experience in bookkeeping; and associate's degree in accounting, finance, or business.
Step 2	Evaluate Financial and Accounting Software – The City is currently using Springbrook, Stamplic, Breeze Smartware, GovInvest, and OpenGov. Administrative Services is already communicating integration challenges and an inability to use all the automation provided by the current SaaS set. This also has ramifications for other Departments and their choice of SaaS solutions. Blackberg recommends: 1) Investigate use of best in suite tools (e.g. OpenGov or Springbrook) with the goal of maximum integration. Springbrook and OpenGov have a partnership for a combined solution with Springbrook for core operations and OpenGov for enhanced transparency and analytics. 2) Be purposeful in planning for the use of Artificial Intelligence (AI) tools. OpenGov is known to be ahead of Springbrook with AI innovation and implementation. OpenGov may also be a replacement for eTrakIT with AI automation of permitting and planning. 3) Implement a more integrated and automated solution for Administrative Services. If new hires are needed from Step 1, preferred capabilities should include experience in the chosen SaaS solution.
Step 3	Establish Maturity Level 3 Processes – The City is severely lacking in process maturity. This issue includes Administrative Services. Administrative Services should focus on developing a Capability Maturity Model Integration (CMMI) Level 3 maturity of processes.
Step 4	Clear Backlogs – The Administrative Services Department is known as having backlogs. It should focus on clearing these backlogs prior to any team size reductions.
Step 5	Rightsize Personnel – The Administrative Services Department has a higher level of staffing than should be necessary if it has the right personnel capabilities, IT systems, and processes in place. Once steps 1-4 are complete, the City should seek total staffing for accounting and finance at 5-6 employees, instead of the current 7 (inclusive of the financial analyst in Public Works). Staffing could be shifted to positions of Information Technology and/or Human Resources.
Step 6	Recommendations Complete – See recommended timeline for completion below (Figure 24).

In **Figure 24**, we provide what we consider a maximum timeline to complete the aforementioned recommended steps for Administrative Services. Ideally, the City completes steps 1& 2 in 3-4 months; step 3 in 3 months; step 4 in 2 months; and step 5 in 1 month. It's likely the City could complete Step 4 in parallel to the other steps. To summarize, the City should complete the steps in a maximum of 17 months or a minimum of 9 months.



Figure 24 – Timeline for Recommendation Steps: The City should plan to complete all recommended steps in 9-17 months from the project implementation date. This figure shows the maximum timeline.

Critical Note: The City should consider SaaS solutions for Administrative Services in careful coordination with Public Works and Community Development Departments.

5.1.5. Community Development Department

Overall, we do not see a need for any changes to the Community Development Department. However, SaaS solutions should be considered in close coordination with Administrative Services.

Recommendation: The primary opportunity for Community Development is AI solutions to improve efficiency and effectiveness. We expect AI solutions on the market between now (November 2025) and next year that may enable the replacement of the Permit Technician I position. A complete replacement may not be possible; however, a reduction to a half-time position could be possible with proper AI implementation and SaaS automation and integration.

5.1.6. Fire Department and Police Department

The scope of Blackberg's study did not include the Fire Department or the Police Department; however, we did investigate both Departments to a small degree for a comprehensive understanding of the City's current state. The Police Chief and Fire Chief positions are also known to be the second and third most expensive positions to fill (behind City Manager).

Recommendation: The primary opportunity for St. Helena is to explore possible cooperative agreements with Calistoga in sharing a Fire Chief and/or Police Chief. If successful, this could save both towns approximately \$250,000 per year if the cities share both positions.

5.1.7. City Clerk Department

The City Clerk position is currently not accurately described by the Organizational Chart. Two individuals currently support the City Clerk role, but those two individuals are also serving as the City's program manager, communications manager, and administrative assistant to the City Manager. Our first concern is this may create miscommunication with the public. We met residents who questioned *why two people are serving in the City Clerk's office when historically it was only one person* (anonymous sources, paraphrased). Of note, historically (~past 10 years) two individuals have staffed the City Clerk Department. Our second and primary concern is the lack of automation with retrieving City records, and the significant backlog in digitizing physical records that are currently stored at multiple locations.

Recommendation: The City should clarify the organizational chart. The City should implement a SaaS resource to enable automated City record access so that the City Clerk does not need to manually receive and process record requests. In parallel, the City should digitize all physical records. A High School or College student(s) could support the digitization effort as a summer job. This would cost the City about \$8,000-\$10,000, with a completion target of August 2026. The automation and digitization will eliminate the current pressures on this role.

5.1.8. Public Works Department

The current state of Public Works organizational chart shows a split between the Public Works Director and Deputy City Manager (See **Figure 25**). The Deputy City Manager has left her position, and we understand the City does not plan to backfill it.

Our initial impression of Public Works staffing is that staffing is “top heavy.” We include the Public Works Director, Assistant Public Works Director, Project Manager, Deputy City Manager, Public Works Assistant Operations Manager, financial analyst, administrative assistant, environmental services technician II, and engineering technician II in that impression.

The departure of the Deputy City Manager alleviates some of this concern. However, we find it difficult to understand the need for the Environmental Services Technician II and Project Manager roles.

Recommendation: We propose a new, slightly leaner structure for the Department of Public Works in **Figure 26** (next page). We remove the positions of Environmental Services Technician II and Project Manager. We add a position of Director of Water & Sanitation, and we create two delineated branches of Public Works for Capital Improvements and Ongoing Operations.

The Capital Improvements branch would handle contracts and contractor support for capital improvements and would also coordinate City personnel for capital improvements when necessary (in coordination with the Assistant Public Works Director for Ongoing Operations). The Capital Improvements branch would include extensive project management.

Next, we recommend the City explore consolidation of public works contracts. The City should consolidate contracts to cover many different “projects” concurrently (See City of St. Helena Proposed Operating Budget FY2025-26 to FY2029-30). This will dramatically reduce project management burden on the City and shift it to the contractors. This enables the removal of the Project Manager position.

Please note, Blackberg will provide more in-depth recommendations for Public Works in Deliverable 4. This will include 2-3 potential paths (options) of restructuring Public Works that can include decreasing or increasing its size in terms of staffing. We provide the leaner structure in this deliverable as only one option.

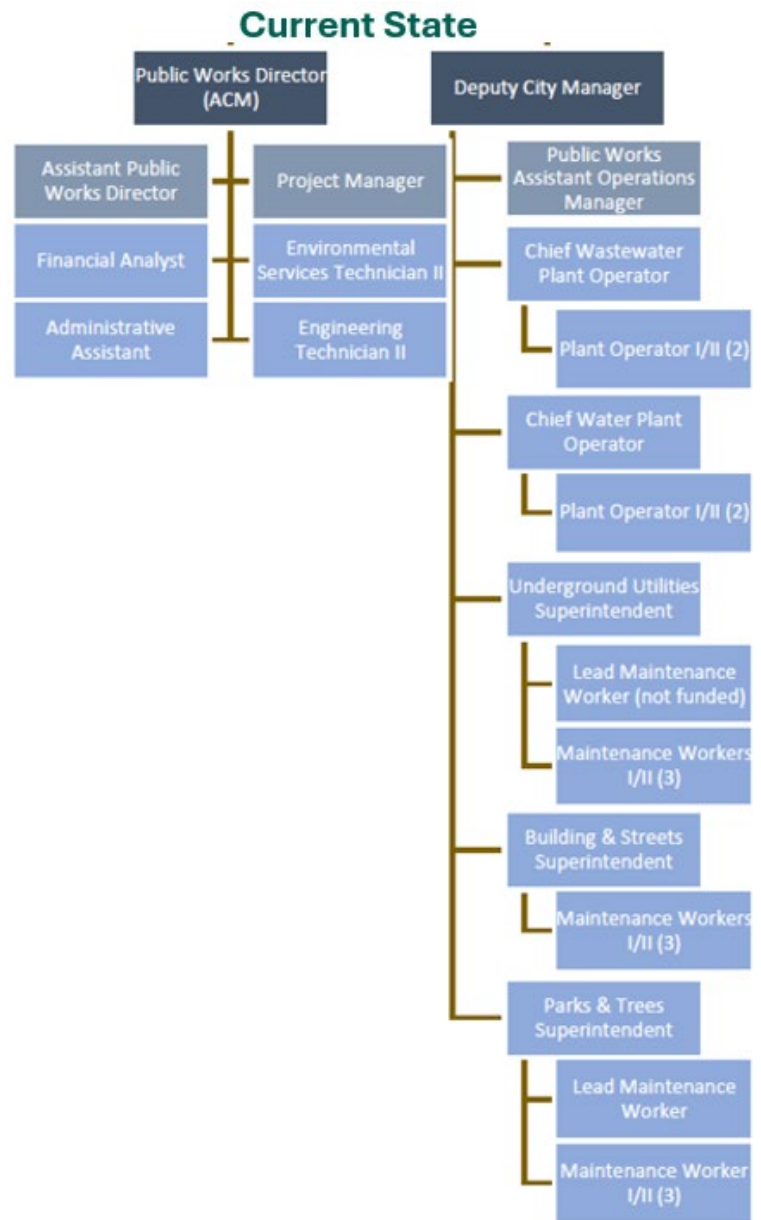


Figure 25 – Public Works Current State Organizational Structure.

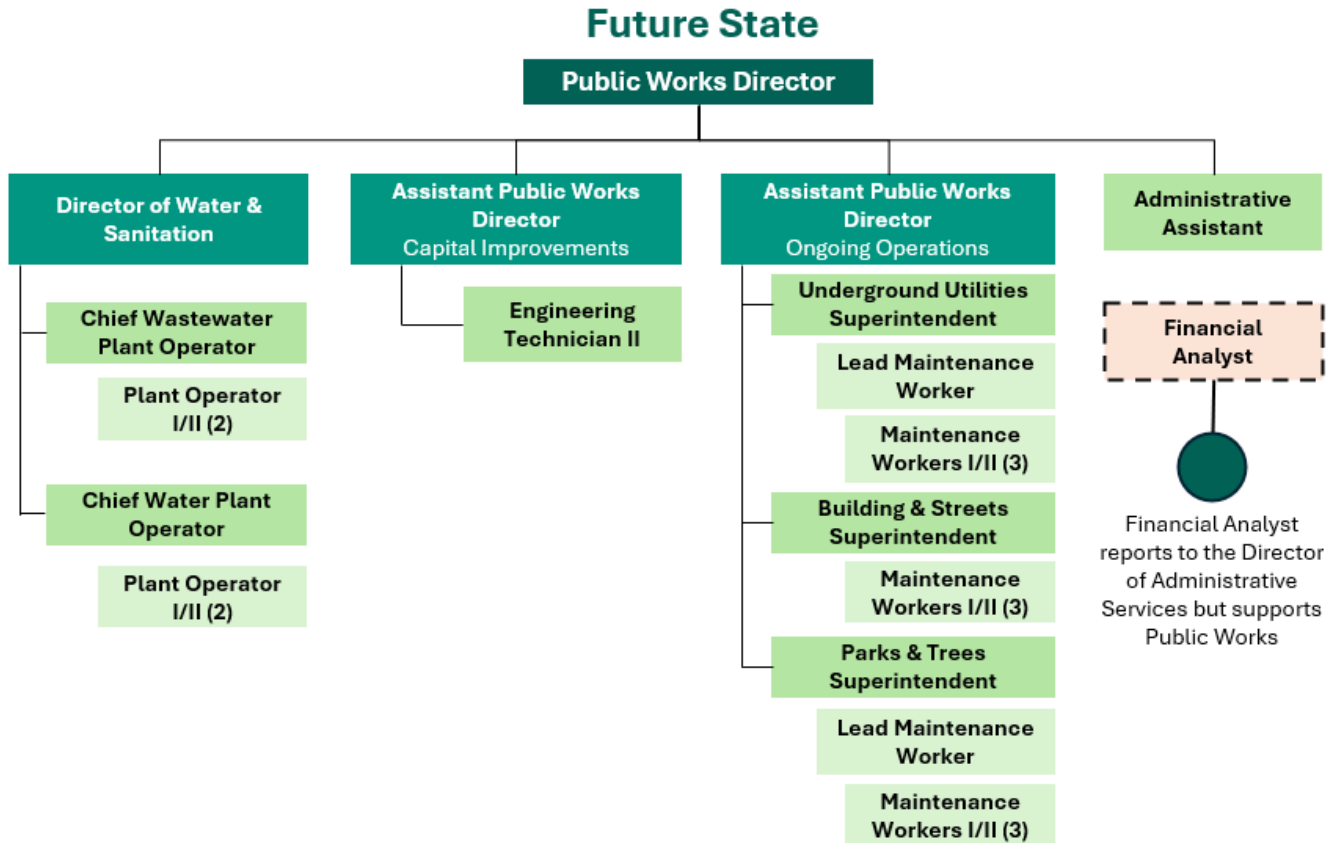


Figure 26 – Public Works Future State Organizational Structure: Blackberg proposes a future state reorganization of Public Works that provides more management support for water while delineating capital improvements and ongoing operations.

6.0 Conclusion and Next Steps

The City has an opportunity to dramatically improve its Talent Management System and thereby lower payroll costs. Further, staff reductions are possible; however, some reductions will require improvements in management systems (both IT and processes) prior to implementation. Although we see reductions as possible, Blackberg recommends reassigning those resources to some known vacant areas rather than simply reducing staffing expenditure budgets. We see clear needs for additional staffing in areas of human resources and information technology. Further, City personnel in the Workshops ultimately recommended the highest priority for new hiring be given to human resources and the Police Department.

There is also some room for improvement in the overall organizational structure of the City, but these improvements are relatively minor. In Deliverable 3C, Blackberg will address the potential cost savings or cost optimization, much of which is tied to this Deliverable 3A. When Blackberg moves into step 4 of the study (the final step), we will provide specific recommendations in all areas, including the management systems (e.g. Talent Management System).



Process Improvement and Efficiency Potential

JANUARY 14, 2026

Efficiency and Business Transformation Study



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1.0 Executive Summary

The City of St. Helena (City) currently operates with a predominantly reactive management culture shaped by inconsistent processes, informal communication pathways, limited performance measurement, and a high dependency on individual knowledge. This creates operational variability, constrains capacity, and exposes the City to risk when turnover or competing workload demands occur.

This deliverable (3B) identifies a practical set of improvement and efficiency opportunities rooted in the development of a basic **Quality Management System (QMS)**. This includes strengthening Business Process Management (BPM), establishing a Daily Management System (DMS), implementing meaningful performance measures, and building foundational capabilities in project management, preventive maintenance, and knowledge transfer.

The Department of Public Works presents the greatest near-term operational and financial opportunity - particularly through implementing a Preventive Maintenance (PM) and asset management program. Administrative Services department requires standardization of core financial workflows and a clearer organizational structure. In addition, Community Development can promote greater consistency and improve customer experience by implementing expanded standard operating procedures, increasing portal utilization, and establishing more explicit expectations for turnaround times.

AI-enabled opportunities exist but must be aligned with real processes and actual staff needs. The most relevant use cases involve automation of administrative tasks, improved document/records navigation, predictive maintenance pattern detection, and support for customer-facing self-service solutions.

This report provides the foundation for Step 3D (technology modernization) and Step 4 (prioritized recommendations and roadmap). Together, these steps will help St. Helena shift from reactive operations to a more reliable, visible, and measurable operating system.

2.0 Introduction and Purpose

This deliverable, Step 3B – Process Improvement and Efficiency Potential, builds on the findings from the Current State Analysis (Step 1), the Information and Insight Analysis (Step 2), and the Organizational Structure and Staffing Component (Step 3A). It focuses on how the City of St. Helena can improve quality, reliability, and efficiency in the way services are delivered to residents and key stakeholders.

Its purpose is to identify the most significant improvement opportunities available to the City and to organize them within an overall QMS framework. The intent is to provide a fact-based understanding of where operational gaps exist, why they matter, and how they align with broader organizational goals.

This report will:

1. Describe the City's current management system and where gaps exist.
2. Provide enterprise-level and departmental-level improvement opportunities.
3. Introduce practical, low-complexity AI use cases aligned to real processes.
4. Connect opportunities to BPM maturity and the City's strategic objectives.

Insights from this report directly inform future deliverables: 3C (Cost Savings), 3D (Technology Modernization), and 4 (Recommendations and Prioritization).

3.0 Process Framework for Improved Efficiency

3.1. Quality Management System (QMS)

A high-functioning municipal organization typically operates within an explicit **Quality Management System** – a structured approach that ensures the City consistently meets customer expectations, statutory and regulatory obligations, and internal standards.

A practical QMS for a small city like St. Helena includes:

- **Organization Requirements** – Clear understanding of customer expectations and regulatory obligations.
- **Standardized and Documented Processes** – Workflows, SOPs, and defined handoffs.
- **Assigned Process Ownership** – Clear accountability for maintaining and improving processes.
- **Performance Measures** – Outcome and process indicators reviewed regularly.
- **Daily Management** – Visible, routine monitoring of operational status.
- **Structured Improvement Methods** – Common problem-solving tools and simple project management.

A QMS defines requirements, tracks compliance, and offers a structured response when standards are not met, helping departments organize improvement efforts.



Figure 1 – Quality Management System: Key Components and Relationships

3.2. Data Management System (DMS)

The City does not currently operate with a structured Daily Management System. As a result, work is often driven by immediate demands rather than planned operations. A basic DMS appropriate for St. Helena includes:

- **Daily or weekly huddles** to establish priorities, staffing, equipment readiness, and risks.
- **Readiness boards (MESS)** focused on Methods, Equipment, Supplies, and Staffing.
- **Visual indicators** of normal versus abnormal workflow.
- **Tiered escalation** to ensure issues are elevated and addressed.
- **Simple issue-tracking** to support root-cause analysis.

A DMS improves consistency, creates operational discipline, and narrows the gap between “what should be happening” and “what is actually happening.”

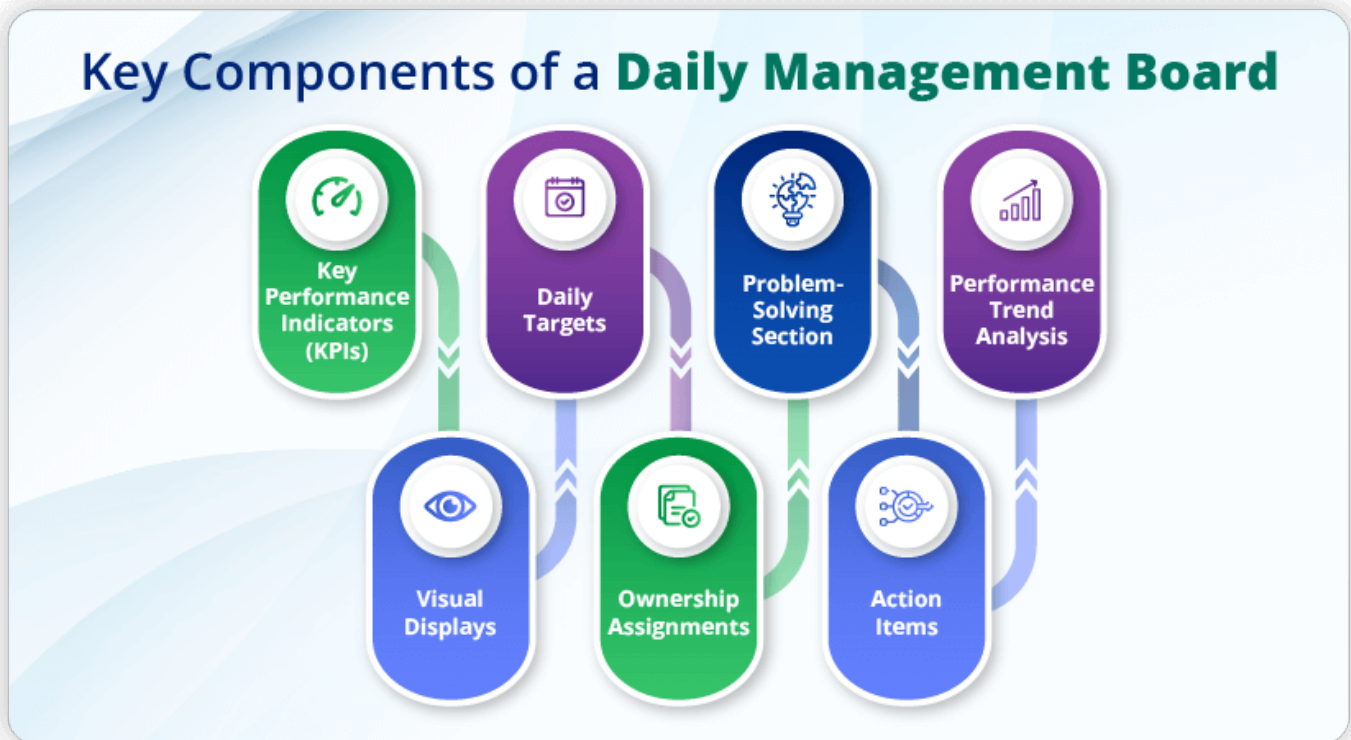
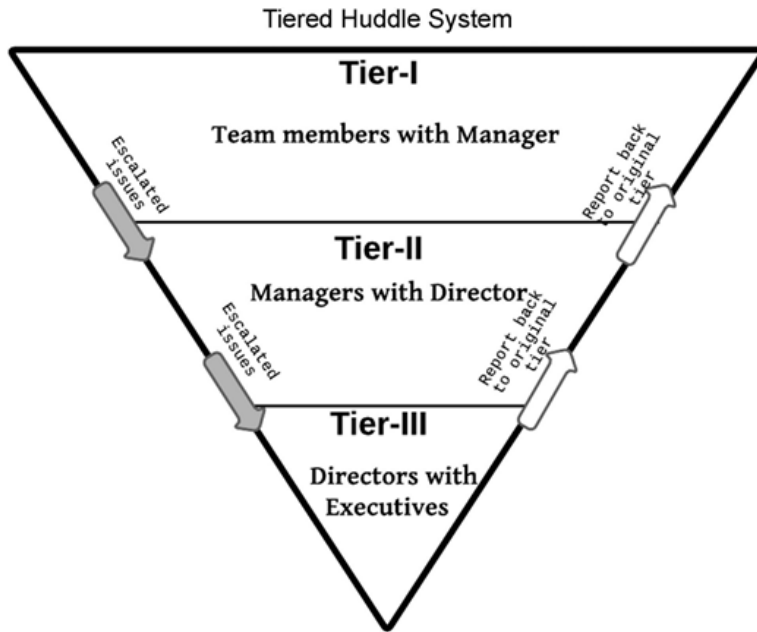


Figure 2 – Key Components of a Daily Management System: A Daily Management System board brings clarity and accountability to team operations by visually displaying key performance indicators, daily targets, problem-solving actions, and performance trends. It helps teams quickly identify issues, assign ownership, and track progress on action items.



A **Tiered Huddle System** creates structured, rapid communication channels at every organizational level, enabling frontline teams, managers, and executives to escalate issues, share updates, and align priorities efficiently. This approach ensures that problems are surfaced and resolved quickly, fostering a culture of transparency.

Figure 3 – Tiered Huddle System: This tiered huddle system would improve communication across City of St. Helena departments by ensuring timely issue escalation, clear information flow, and alignment from frontline teams to executive leadership.

3.3. Performance Measurement and Dashboards

St. Helena does not routinely use performance indicators to manage operations or inform decisions. Measures exist in many areas but are not:

- Consolidated
- Trended over time
- Reviewed regularly
- Used to drive improvement

The City will benefit from developing:

- A **City Manager's Dashboard** aligned to strategic priorities (See Figure 4)
- Department-level operational scorecards
- A performance review cadence (monthly or quarterly)
- Visual displays used in daily and weekly huddles

Measurement is the foundation for identifying variation, determining whether improvements are working, and prioritizing resources.

City Manager's Dashboard

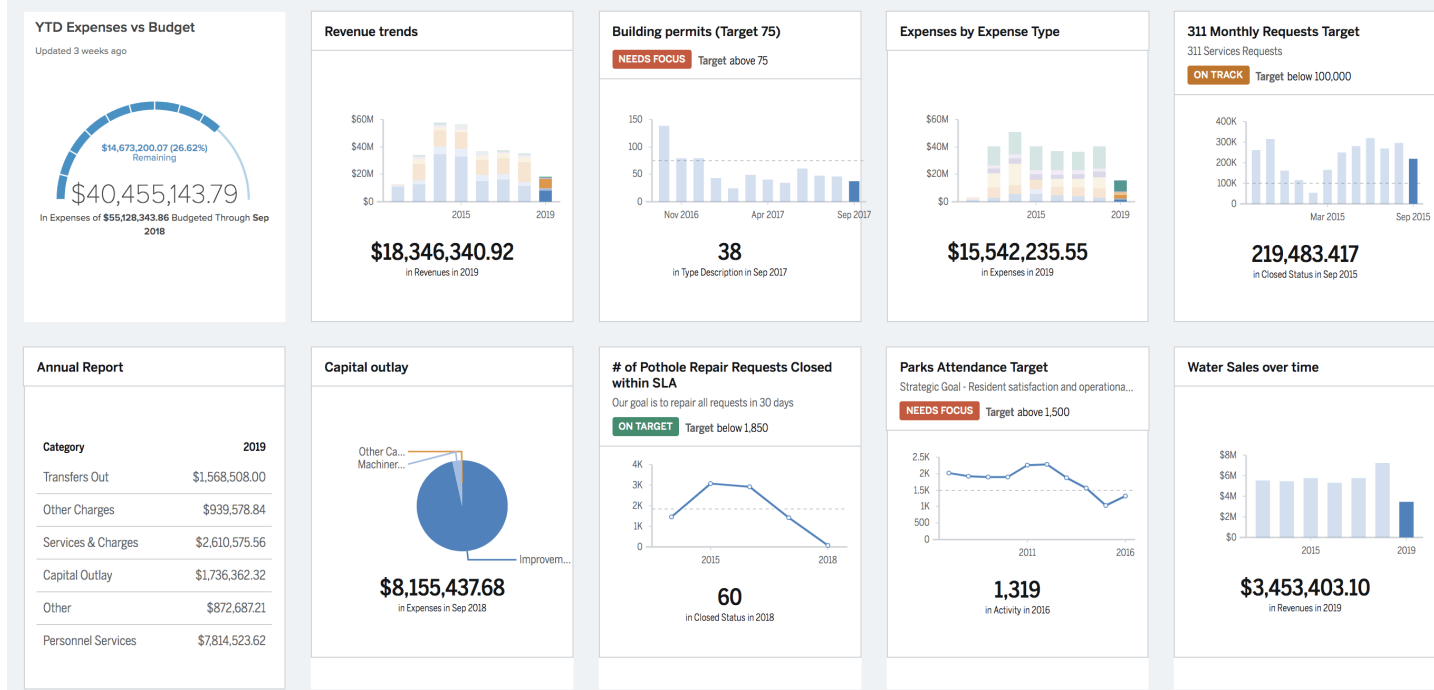


Figure 4 – Example of a City Manager’s Dashboard: This example of a City Manager’s Dashboard presents at-a-glance performance metrics across finances, service delivery, and operational targets to support executive decision-making and transparency.

3.4. Strategic Deployment

Strategic deployment is the disciplined process of translating an organization’s strategic goals into aligned priorities, initiatives, measures, and accountabilities across departments and levels of the organization. Its purpose is to ensure that day-to-day work, improvement efforts, and resource decisions are directly connected to—and actively advancing—the City’s strategic objectives, rather than existing as disconnected or competing activities. It creates a clear connection between:

- **True North** (what the City is fundamentally trying to achieve),
- **Strategic Priorities,**
- **Annual goals and measures, and**
- **Improvement initiatives and projects.**

This alignment ensures resources are concentrated on the most important activities and that projects reinforce, rather than compete with, each other. The strategic deployment structure will play a significant role in Step 4.

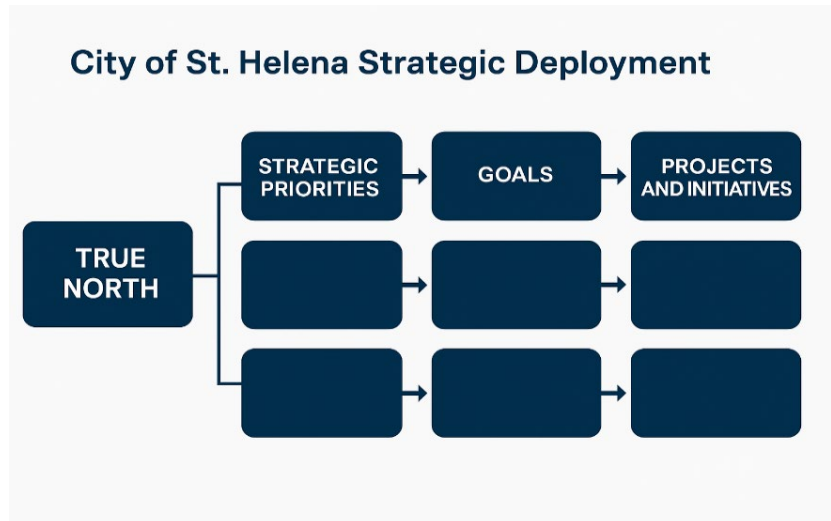


Figure 5 – Strategic Deployment Driver Diagram Template: This high-level model shows the intended flow from the City of St. Helena’s long-term vision (“True North”) to strategic priorities, goals, and the projects that support their achievement.

4.0 Enterprise Level Themes and Opportunities

The enterprise-level themes outlined below reflect patterns observed consistently across departments rather than isolated issues within individual functions. While each theme manifests differently depending on departmental responsibilities, together they point to a common root cause: the absence of foundational management systems needed to support reliable, scalable operations. Addressing these themes will reduce risk, improve service consistency, and create capacity for future improvement.

4.1. Insufficient Process Documentation and Standardization

Across departments, the City relies heavily on informal knowledge, individual judgment, and undocumented workflows to deliver core services. While this approach allows staff to remain flexible, it creates inconsistency in service delivery, lengthens onboarding time, and introduces operational risk when key individuals are unavailable. The absence of standardized, documented processes is a foundational constraint that limits the City’s ability to scale capacity, manage workload predictably, or sustain improvements over time.

Core processes are undocumented or vary significantly by individual. Impacts include inconsistent service, extended onboarding time, and operational risk. Examples of areas needing documented processes:

- Work order processes
- Inspection and plan review steps
- Procurement and purchasing workflows
- Payroll and onboarding
- Budget development and monitoring
- Capital project workflow handoffs
- Staff scheduling and program planning

This represents a central gap in the City’s business process management maturity.

4.2. Limited Performance Measurement and Visibility

The City currently operates with limited routine performance visibility at both the enterprise and departmental levels. While data exists in pockets, it is not consistently consolidated, trended, or reviewed as part of regular management practices. This limits leadership's ability to anticipate issues, objectively assess performance, or determine whether changes are producing the intended results. As a result, decisions are often made reactively rather than based on shared, real-time operational insight.

Without regular monitoring of performance, identifying issues quickly or measuring progress becomes challenging. Data should be:

- Easily accessible
- Trended over time
- Summarized visually
- Reviewed routinely
- Used to identify root causes

There is no City-wide dashboard, no department-level scorecards, and no structured means to monitor performance against goals.

4.3. Major Gap: No Preventive Maintenance Program & Asset Management System

One of the most significant operational gaps identified is the absence of a structured preventive maintenance and asset management approach. The City primarily addresses infrastructure and equipment issues after failures occur, which increases costs, disrupts service delivery, and heightens safety and regulatory risk. Without a basic understanding of asset condition, lifecycle, and maintenance needs, the City lacks the ability to plan work proactively or make informed long-term capital decisions.

The City primarily responds to failures as they occur, rather than scheduling work based on asset condition or risk. This creates:

- Higher long-term costs
- Greater safety and regulatory risk
- Shorter asset lifespans
- More emergency work and service disruptions
- Poor predictability in capital planning

A basic asset inventory, condition assessments, and PM schedule are essential first steps.

4.4. Lack of Project Management Framework

The City is managing numerous initiatives simultaneously, including capital projects, technology improvements, and operational changes, yet there is no consistent framework to define, prioritize, or monitor this work. Projects are often initiated without a common structure for scope, ownership, resourcing, or reporting, which contributes to competing priorities and limited visibility into staff capacity. This lack of a shared project management approach makes it difficult to align work with strategic objectives or assess cumulative workload impacts.

The City lacks a coherent way to see all projects, assign resources, evaluate workload, or ensure alignment with strategy. The absence of a project management structure leads to:

- Conflicting priorities
- Lack of visibility into staff workload
- Difficulty forecasting resource needs
- Delays due to unclear handoffs

A simple “light PMO” framework would add significant value.

4.5. Fragmented Interdepartmental Coordination

Many of the City’s critical workflows span multiple departments, requiring timely handoffs, shared information, and aligned expectations. However, these interdependencies are not consistently defined or managed, resulting in coordination gaps that slow progress and create frustration for both staff and customers. Without clearly articulated cross-department processes, the City experiences avoidable duplication, rework, and variability in outcomes.

Key workflows cut across departments, yet handoffs are inconsistent and expectations differ. Interviews highlighted persistent coordination gaps:

- Conditions of approval and development review require coordination between Community Development and Public Works, but handoffs are inconsistent.
- Capital planning requires alignment with Finance, but communication is uneven.
- Technology support requires coordination between IT and all departments, but no ticketing or tracking mechanism exists.

This fragmentation results in duplication, delays, and inconsistent customer experience.

4.6. Limited Continuous Improvement Capability

Although staff regularly identify opportunities to improve how work is performed, the City lacks a formal, shared problem-solving process to consistently evaluate, prioritize, and address these opportunities. As a result, problem-solving is often informal and experience-based rather than grounded in documented root-cause analysis or common improvement tools, leading issues to be handled inconsistently or deferred due to workload. This limits the City’s ability to achieve sustained, organization-wide improvements and reinforces reliance on individual initiative rather than institutional capability.

4.7. Workforce Capacity Constraints and Turnover Risk

The City’s operational model relies heavily on a small number of experienced individuals who hold critical institutional knowledge that is not formally documented or embedded in standard processes. High workload demands and informal practices further concentrate this knowledge, creating vulnerability to turnover, extended leave, or shifting priorities, where even modest staffing changes can have outsized operational impacts.

As a result, departments report operating in “survival mode,” with limited capacity for documentation, process improvement, or cross-training. These conditions underscore the need for stronger management systems, including a foundational quality management system (QMS) and a structured business process management (BPM) approach, to reduce risk and build organizational resilience.

5.0 Leadership Input Summary

Tasks 1 and 2 Observations: From structured interviews and meeting notes, leadership consistently highlighted:

- Difficulty maintaining visibility into workload
- Insufficient documentation
- Lack of cross-department coordination
- High dependency on individual staff knowledge
- Limited tools to support planning and prioritization
- Staunch support for greater structure and standardization

The organizational perspective is strongly aligned with the key improvement themes that have been identified.

Task 3A, Workshop 2 Observations: The findings and improvement opportunities identified in this report were further informed and validated through a series of facilitated leadership and departmental workshops conducted as part of Step 3A. While these workshops did not surface materially new improvement themes beyond those documented in this assessment, they served as important corroborating evidence. In particular, the workshop discussions reinforced the significance of previously identified priorities, including the need for greater process standardization, improved documentation and knowledge transfer, clearer workload visibility, and foundational capabilities such as preventive maintenance, asset management, and basic project management. The consistency between workshop input and the analysis presented in this report strengthens confidence in the prioritization of improvement opportunities and underscores their relevance across departments.

6.0 Department-Level Improvement Opportunities

Connection to Business Process Management Maturity

The City's maturity assessment shows that most processes fall within **Level 1** (ad-hoc, inconsistent) or **Level 2** (documented at the project level but lacking organizational consistency).

The improvement opportunities outlined above support movement toward **Level 3**, where processes are:

- Documented
- Owned
- Measured
- Controlled
- Integrated
- Supported by routine management practices

Level 3 is realistic, practical, and appropriate for a city the size of St. Helena.

Definition of Priority Levels

Improvement opportunities identified in the below assessment are categorized as Priority I (P1), Priority II (P2), or Priority III (P3) using an impact–effort evaluation approach. Each opportunity was assessed based on its potential impact on service quality, operational reliability, risk reduction, and organizational effectiveness, as well as the relative level of effort required to implement the improvement given current capacity, complexity, and dependencies.

This approach allowed the project team to differentiate opportunities that represent foundational, high-value improvements from those that are incremental or longer-term in nature.

Priority I (P1) opportunities represent high-impact, foundational improvements that address critical gaps in the City's operating model. These opportunities typically reduce operational risk, improve service reliability, and enable multiple downstream benefits across departments. While some Priority I items may require focused effort, they are essential building blocks for strengthening the City's overall quality management system and advancing process maturity.

Priority II (P2) opportunities represent moderate to high impact improvements that build upon foundational capabilities or address specific operational inefficiencies within departments. These initiatives generally require moderate effort and coordination but can be implemented once key structures or processes are in place. Priority II opportunities support improved consistency, visibility, and performance but are not as foundational as Priority I items.

Priority III (P3) opportunities represent incremental or longer-term improvements with more limited immediate impact or higher relative effort compared to their near-term benefit. These items may depend on prior implementation of Priority I or II initiatives, additional resources, or future technology enhancements. Priority III opportunities remain important but are best addressed after foundational improvements are established.

This prioritization framework was used to provide clarity on relative sequencing and focus, while recognizing that final prioritization decisions will be refined as part of subsequent implementation planning and recommendation development.

6.1. Public Works

Key Opportunities (Service Delivery and Operations)

1. (P1) Establish a Preventive Maintenance (PM) and Asset Management Program

- Shift from "run to failure" toward scheduled inspections and preventive work for critical infrastructure.
- Implement basic asset registers, condition assessments, and PM task lists to extend asset life, reduce emergency repairs, and improve safety and regulatory compliance.

2. (P2) Develop Level 3 Process Documentation for Recurring Operational Workflows

- Document standard workflows for service requests, work orders, inspections, emergency response, and contractor coordination.
- Define handoffs between Public Works and both Finance and Community Development.

3. (P3) Field Technology Utilization

- Utilize mobile access to SOPs, maps, asset histories, and inspection forms.

4. (P3) Implement a Basic Daily Management System (DMS)

- Introduce Methods–Equipment–Supplies–Staffing (MESS) readiness boards for daily clarity on workload, equipment status, and constraints.
- Use short huddles at the start of the day to review performance and today's plan.
- Capture issues that cannot be resolved locally and escalate them through a simple tiered huddle structure.

Key Opportunities (Capital Project Delivery)

1. (P2) Clarify Capital vs. Operations Workflows

- Define standard processes for planning, budgeting and procurement, contract management, construction oversight, and project close-out.
- Standardize interaction with Administrative Services for budgeting, procurement, contract management, and invoice approval.

2. (P3) Introduce Project Visibility Tools for Capital Programs

- Maintain a single list of active and planned capital projects, showing status, schedule, budget, and risks.

Key Opportunities (Utilization and Performance Measures)**1. (P2) Define a Core Set of Operational Measures for Public Works**

- Examples include percentage of preventive versus corrective work, response times for service requests, and backlog levels.
- Trend these measures visually and use them in Public Works huddles and monthly City leadership reviews.

6.2. Community Development

Considerable progress has been made in recent years, and opportunities now center on consistency, clarity, and customer experience.

Key Opportunities:**1. (P1) Strengthen Standard Work and SOPs for Key Processes**

- Document end-to-end workflows for permitting plan review, inspections, zoning amendments, and code enforcement.
- Incorporate "standard conditions of approval" templates by application type to ensure staff are not reinventing requirements each time.

2. (P2) Expand "Rapid" or Over-the-Counter Permit Pathways

- Identify additional permit types that can be expedited with minimal review.

3. (P2) Cross-training and Knowledge Transfer to reduce dependence on individual specialist**4. (P2) Clear Turnaround-time Expectations**

- For applicants, with communication templates to reinforce consistency.

5. (P3) Enhance Use of the Online Permitting Portal

- Continue shifting customers from phone calls and paper processes to the portal for intake, status updates, and inspection scheduling.
- Use portal data to monitor cycle times, bottlenecks, and customer pain points, then target improvement efforts to those areas.

6. (P3) Enhanced Coordination with Public Works

- Improved coordination during development review and public improvements.

7. (P3) Formalize stakeholder engagement for major code and zoning changes

- Leverage the planned zoning update study sessions as a model for ongoing, structured forums with developers, architects, residents, and other stakeholders. Document the process for these sessions so they can be repeated and improved over time.

6.3. Administrative Services

Administrative Services is facing significant workload and capability challenges, particularly in accounting and finance. There are also opportunities to integrate and streamline technology platforms and to clarify roles.

Key Opportunities:

1. (P1) Raise Process Maturity in Core Financial Workflows

- Document and standardize processes for accounts payable/receivable, purchasing, payroll, budget development/monitoring, and financial reporting.
- Clarify approvals, thresholds, and segregation of duties to improve internal controls.
- Eliminate unnecessary variation in how departments submit invoices, purchase requests, and journal entries.

2. (P2) Reduce Manual Work through Automation and Better System Use

- Improve utilization of existing systems such as Springbrook and OpenGov to move staff away from spreadsheets and manual reconciliation.
- Identify “quick win” automations for invoice processing, expense coding, and budget monitoring.

3. (P3) Improve Transparency and Communication with Departments

- Create simple, standardized financial dashboards for department heads.
- Use monthly check-ins with department leaders to review financials, resolve questions, and plan.

4. (P2) Clarify organization and reduce structural risk

- Align financial analyst roles under Administrative Services to improve independence and objectivity in financial analysis and reporting.

6.4. Community Services

The library is relatively mature in its management practices and performance, especially when compared to national benchmarks for similar-sized communities. Parks and Recreation functions are more limited in scope but are highly visible to residents.

Key Opportunities

1. (P2) Balance Efficiency with Service Quality at the Library

- Document core processes such as circulation, programming, and outreach so they can be sustained with fewer staff if required.

2. (P3) Integrate Community Services into the broader QMS and DMS

- Use simple readiness boards and huddles to manage daily operations (e.g., facility readiness, staffing, events, and maintenance needs).
- Develop basic measures such as program participation, facility utilization, and customer satisfaction.

6.5. Cross-Cutting: Project Management and Enterprise Visibility

A consistent **project management framework** is absent across departments, which prevents the establishment of a unified and integrated perspective on the complete project portfolio. The City currently manages various improvement initiatives, capital investments, and technology projects simultaneously; however, there is no consolidated view of:

- Project Charters and Governance
- The total portfolio of projects.
- Regular project review cycles
- Staff assignments and allocation of time.
- Alignment with strategic deployment
- Resource allocation oversight

Key Opportunities

1. (P1) Launch a Simple, City-Wide Project Management System

- To improve oversight and consistency, the City should create a standardized project charter template. This will guide teams in starting, planning, and tracking projects, ensuring all key elements are covered from the start.
- A single City-wide project list gives leadership visibility into all projects and should be reviewed regularly to support prioritization, resource allocation, and issue identification. These reviews also help align with strategic goals and encourage interdepartmental collaboration.

2. (P2) Align Projects with Strategic Deployment

- As the City refines its “True North” and strategic priorities, ensure that major projects are explicitly linked to those priorities and to improvement in defined performance measures.
- Defer or discontinue projects that do not clearly support the City’s strategy or that cannot be resourced adequately.

7.0 AI-Enabled Opportunities for a Small City

AI offers high-value opportunities with minimal risk and aligns well with the City’s size and capacity constraints. The goal is to make work easier, faster, and more consistent - *not* to add complexity.

Guiding Principles

For a city of St. Helena’s size, AI opportunities should:

- Be tightly connected to real processes that are already being improved through BPM and DMS, not stand-alone experiments.
- Augment staff, not replace them, freeing time for higher-value work and better customer service.
- Start with small pilots using available capabilities (e.g., AI features in existing financial, permitting, or document-management systems).
- Respect public-sector expectations for privacy, transparency, and fairness in any resident-facing use.

7.1. AI Opportunities by Department

Administrative Services	
Invoice and payment processing assistance	- Use AI-enabled tools to extract data from invoices, propose account codes, and flag potential duplicates or anomalies for review by staff. - Reduce manual data entry and speed up the AP cycle while maintaining human approval for payments.
Budget monitoring and variance analysis	- Automatically highlight unusual spending patterns or budget variances and generate simple narrative explanations that can be reviewed and refined by finance staff. - Support department heads with AI-assisted “budget briefings” that summarize key trends for each department. - Drafting staff reports and summaries.
Automated HR onboarding packet preparation	Automated generation of onboarding materials for new hires.
Document search across financial policies and procedures	Allow staff to query policies, procedures, and prior memos in plain language (for example, “What is the current purchasing threshold for formal bids?”) rather than hunting through shared drives.
Public Works	
Work order triage and prioritization	- Use AI to classify and prioritize incoming service requests based on descriptions, photos, and location, routing them to the right crew and indicating urgency. - Over time, learn common patterns that can inform staffing levels and PM schedules.
Preventive maintenance planning	- Predictive analysis for PM scheduling - Analyze historical work orders, failures, and environmental data to recommend PM intervals and highlight assets at higher risk of failure. - Support long-term capital planning by forecasting replacement needs based on usage and condition trends.
Field staff support	Provide mobile, natural-language access to SOPs, checklists, and asset histories, so field staff can quickly find the right procedure at the job site.
Community Development	
Permit intake and completeness checks	- Use AI to pre-screen applications for completeness, flagging missing documents or inconsistent information before staff review. - Provide applicants with clearer instructions and checklists generated from standard conditions of approval and code requirements.
Resident and developer self-service	Implement AI-powered FAQs or chat on the City’s website and permitting portal to answer frequent questions about permit types, timelines, and required documentation, reducing phone calls and walk-ins.
Document and code navigation	Allow staff to query zoning code, design guidelines, and prior approvals using natural language, improving consistency, and reducing time spent searching.

Community Services	
Customer Focus	▪ Use AI to analyze participation patterns and demographics and to suggest program times and topics that better match community demand. ▪ Summarize survey feedback and open comments to identify themes for improvement. ▪ Drafting outreach materials and promotional content.
Enterprise-Level Uses	
Cross-cutting applications	▪ Apply AI transcription and summarization tools to City meetings, focus groups, and staff interviews, producing structured notes, themes, and follow-up actions. ▪ Reduce time spent drafting minutes and improve follow-through on commitments. ▪ Provide secure, role-based search across key City documents, policies, and reports, so staff can quickly gather background when working on a new issue or project.

These AI examples support and accelerate the functional structure the City should build.

8.0 Conclusion and Next Steps

The City can significantly improve reliability, efficiency, and customer experience by focusing on:

- A simple, practical Quality Management System
- A Daily Management System with readiness boards
- A preventive maintenance and asset management capability
- A basic project management framework
- Documenting and standardizing core processes
- Performance dashboards and scorecards
- AI-enabled tools tied to real workflows
- Advancing BPM maturity to Level 3

These improvements form the foundation for modernizing technology and developing a long-term roadmap. Blackberg will provide further recommendations and details in Deliverables 3C, 3D, and 4.



Financial Efficiency Review

JANUARY 29, 2026

Efficiency and Business Transformation Study



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1.0 Introduction

This Financial Efficiency Review deliverable draws heavily from Blackberg’s findings in Deliverable 3A: Organizational Structure and Staffing Component. We recommend that one reads Deliverable 3A prior to reading this document. In our analysis of financial efficiency, Blackberg identified three major categories of cost savings or cost avoidance: Market Salary Adjustments, Staffing Reallocations/Reductions, and Strategic Partnerships. Most of the “Staffing Reallocations/Reductions” savings are contingent on the City first making improvements in process maturity, IT automation, and artificial intelligence (AI) deployment. We estimate that the City will need to spend approximately \$80,000-\$120,000 more annually to cover the costs of the IT automation and AI deployment. This is in addition to the City’s current IT budget. However, we estimate that the total annual savings potential for staffing reductions is \$625,000. The savings outweigh the costs. However, instead of using the savings to simply reduce the staffing budget, we recommend the reallocation of some staff to a Human Resources Manager and IT Manager (both part-time positions). Finally, we estimate that the total potential cost savings or avoidance across the three major categories is approximately \$1.6 million annually without investments in the Human Resources Manager or IT Manager. With investments in the Human Resources Manager and IT Manager, this annual savings reduces to approximately \$1.3 million.

2.0 Financial Efficiency Potentials

2.1. Market Salary Adjustments

In Deliverable 3A, Blackberg conducted a salary and total compensation analysis of St. Helena (City). The City identifies 19 Executive or Mid-Management positions on its organizational chart. Blackberg assessed the total compensation of 10 management positions. We identified significant variance from market averages. Considering these 10 positions, all were above market rates except for the Senior Librarian. We believe much of the variance issue for the City is rooted in labor market failures and lack of a Talent Management System (framework, processes, and IT) to properly handle human resources. However, a component (and possibly a major component) of the labor market failure may be rooted in regional corruption issues (i.e. revolving doors). We discuss this in more detail in the following section, “Financial Efficiency Challenges.”

The City has an opportunity to save \$590,000 for these 10 positions alone (See **Figure 1**-Following Page). For the Director of Accounting, we used the mid-sized city data for the average to calculate the potential savings of \$28,000. If we include the other nine (9) management positions, we estimate the City has a total cost savings opportunity of \$590,000. We did not expand our total compensation analysis to the rest of the City’s employees. To be conservative, we will not speculate if those salaries are above or below market; however, we believe the City has a total cost savings opportunity of approximately \$590,000 annually from seeking average market rate salaries for its executive and mid-level management. We do not recommend terminating employees or attempting to reduce existing total compensation. However, the City should seek to reduce compensation to market averages over the long term through “strategic staffing” to realize these savings.

Job Title	Small Town Sample Average Total Compensation	St. Helena Total Compensation	Potential Savings
City Manager	214,745	394,002	179,257
Director of Public Works	194,825	222,429	27,604
Director of Accounting*	-	198,862	28,000
City Clerk	113,032	150,889	37,857
Senior Librarian**	107,643	99,131	(8,512)
Community Development Director	167,753	226,054	58,301
Parks and Recreation Director	123,678	191,017	67,339
Recreation Director	95,410	105,817	10,407
Police Chief	162,925	240,821	77,896
Fire Chief***	169,778	282,309	112,531
Total Potential Savings:			\$ 590,678

*Data for Director of Accounting was not city centric

**No data for populations under 10,000 available, so under 50,000 was used

***Small sample size (only 3 samples available)

Figure 1 – Salary Market Alignment: The average pay for executive managers derives from Blackberg’s calculations of data from Transparent California, and it is split between base pay and total compensation.

2.2. Financial Efficiency Challenges

Corruption and related integrity risks can significantly undermine financial stewardship and operational efficiency in local government. Small municipalities face heightened exposure due to structural limitations—namely, limited personnel and resources—that restrict the application of comprehensive accountability, oversight, and transparency controls. A 2016 Columbia Law School report observes: “...the very nature of small municipalities makes them susceptible to corruption, because their small size and workforce do not allow for the kind of oversight and enforcement mechanisms that larger cities, state governments, and the federal government can employ”¹.

A documented risk pattern is the revolving-door phenomenon, characterized by personnel transitions between government positions and private firms that do business with the same public entity. These movements can facilitate conflicts of interest, collusion, or other improper conduct. In practice, such arrangements often involve multiple actors and entities, reducing the visibility of potential misconduct.

A documented risk pattern is the “revolving doors” phenomenon, characterized by personnel transitions between government positions and private firms that do business with the same public entity or vice versa.² These movements can facilitate conflicts of interest, collusion, or other improper conduct.

Revolving-door relationships are frequently more complex than direct, one-to-one transitions between public and private sectors. Such arrangements often involve networks of multiple individuals across several public entities and private firms, which can reduce the visibility and traceability of potential conflicts of interest or improper influence. **Figure 2**, adapted

¹ Columbia Law School, “Fighting “Small Town” Corruption: How to Obtain Accountability, Oversight, and Transparency,” https://scholarship.law.columbia.edu/cgi/viewcontent.cgi?article=1078&context=public_integrity, 2016.

² Pons-Hernandez, Monica, “Power(ful) Connections: Exploring the Revolving Doors Phenomenon as a Form of State-Corporate Crime,” <https://pmc.ncbi.nlm.nih.gov/articles/PMC9034252/>, Apr 23, 2022.

from a June 2025 Cato Institute publication analyzing 15 cases of local government corruption, provides a simplified illustration of how these dynamics can manifest³.

While such patterns can theoretically appear at any organizational level, they tend to emerge more prominently in roles with significant decision-making authority. Research has examined this issue in the context of city managers through the lens of principal-agent theory, identifying “agent capture”—a situation in which the agent (e.g., the City Manager) aligns with external interests (sometimes linked to revolving-door connections) rather than prioritizing the interests of the principal (the public and residents). Municipal governments should implement appropriate preventive measures, including strong conflict-of-interest policies, procurement transparency, and independent oversight, to address these risks.

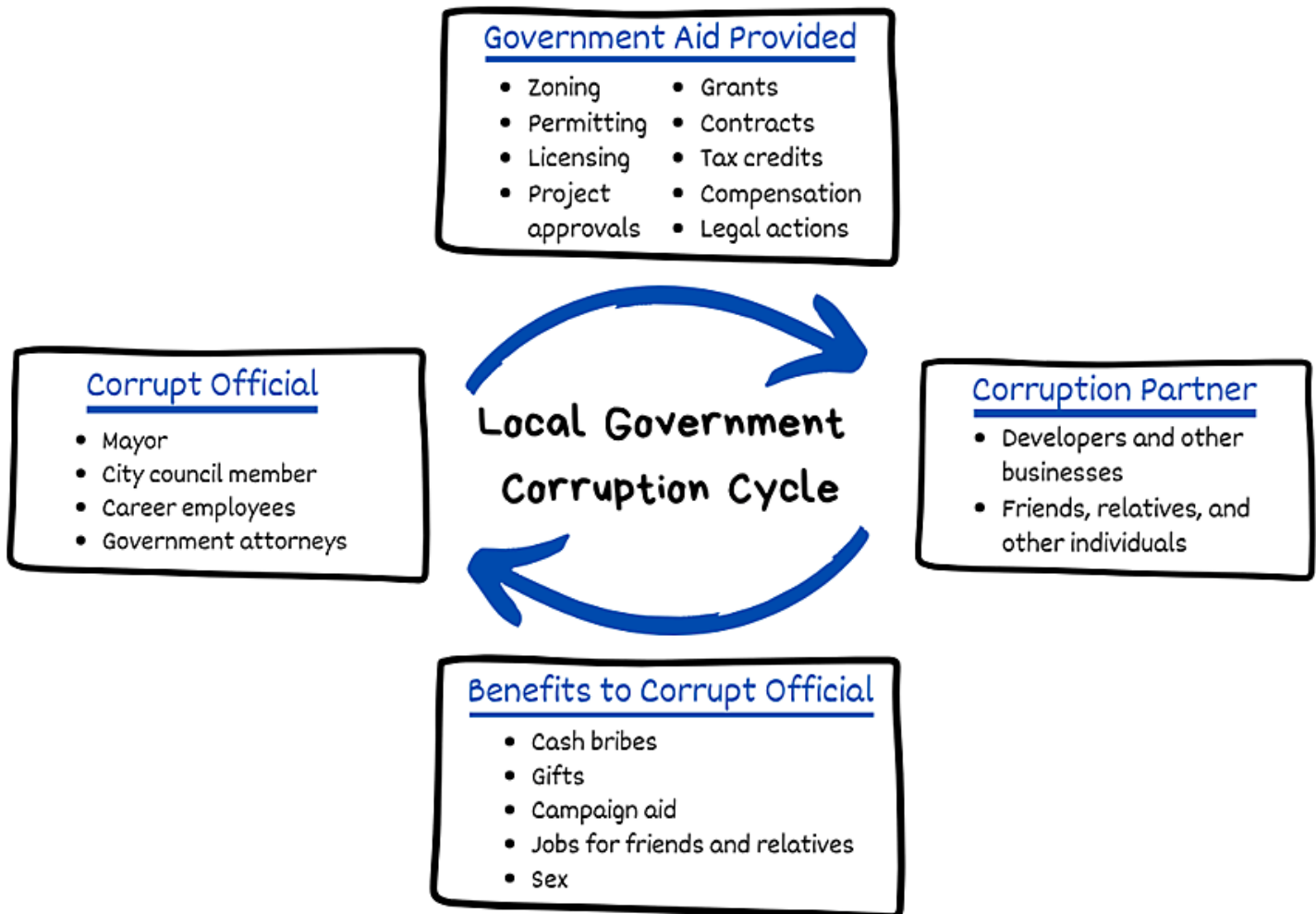


Figure 2 – Local Government Corruption Cycle: This image is taken from footnote reference #3.

Blackberg makes no assertion that corruption is occurring in St. Helena. However, the review has identified a number of governance, control, and compensation-related conditions that collectively heighten the risk of improper conduct or resource inefficiency remaining undetected.

A prominent example is the materially above-market total compensation levels for managers in the City, which present a substantial challenge to fiscal prudence and long-term budgetary balance. Additional indicators of concern include various documented deficiencies in oversight, data integrity, professional qualifications, performance tracking, and procurement-

³ Edwards, Chris & Kallash-Kyler, Yasmeen, “Local Government Corruption: 15 Case Studies”, <https://www.cato.org/blog/local-government-corruption-15-case-studies>, CATO Institute, June 3, 2025.

related practices. Blackberg provides the following examples of support for these concerns; however, these examples are not exhaustive:

- 1) Multiple stakeholders, including Finance Committee members, City employees and managers (from 12 separate interviews), and respondents to the City Satisfaction Survey, have indicated a significant level of distrust toward City operations and leadership.
- 2) Blackberg's contract with the City spans approximately nine months for the conduct of this study. At project inception, Blackberg representatives met with the City Manager and City Clerk. During this meeting, the City Manager inquired whether the study could be completed in one month, which was inconsistent with the agreed-upon scope and timeline. Additionally, when asked about the appropriate frequency of engagement with the City Council—including the possibility of a contract kickoff meeting—the City Manager advised that no meetings with the Council were necessary during the study, with potential presentation of findings only at the conclusion. This guidance differed markedly from standard expectations for stakeholder involvement in such engagements. Accordingly, Blackberg sought direct clarification from City Council members, who confirmed the need for periodic updates and input throughout the study, explicitly advising against deferring engagement until the end. These interactions raised questions regarding the level of support for independent review, appropriate oversight, and general professionalism of City management.
- 3) The City lacks a centralized asset management system. Although limited, piecemeal tracking exists for major assets (e.g., vehicles), the absence of comprehensive monitoring and controls creates a significant risk that other assets could be misappropriated without timely detection.
- 4) Multiple individuals have informed Blackberg of alleged threats—experienced personally or observed—attributed to St. Helena employees or managers. Among the reported incidents are claims of physical threats made in relation to requirements that a contractor, rather than City employees, be used to perform a particular project.
- 5) Baker Tilly reports, “on October 25, 2022, City Council authorized a Professional Services Agreement (PSA) with Baker Tilly to: (1) provide an independent review of the existing LRFF [Long-Range Financial Forecast].” However, we see in the report that “Furthermore, City leaders have identified the need to increase staffing levels to support service delivery and, due to a number of factors including location and high cost of living, the City has become less attractive as an employer and therefore needs to ensure compensation is competitive to attract and retain staff.” This statement attributes certain observations and needs directly to ‘City leaders,’ raising questions about the extent to which the analysis and related recommendations reflect independent assessment versus input received from City personnel. Notably, Baker Tilly’s recommendations included staffing-related cost increases totaling \$2.776 million.
- 6) In reference to the Baker Tilly reports, on October 25, 2022, the discussion of additional public works expenses references the following explanation: “In addition, over the past few years, numerous capital improvement and infrastructure needs have been identified totaling into the tens of millions of dollars for which General Fund support will be needed. In the past, these additional expenses were not incorporated into the forecast because of the magnitude of the costs on an already burdened General Fund operation.”

The language suggests that significant identified capital and infrastructure requirements were deliberately omitted from earlier forecasts solely due to their scale and the resulting strain on the General Fund. This practice raises questions about adherence to Generally Accepted Accounting Principles (GAAP) requirements for comprehensive and transparent financial forecasting in governmental entities, as well as potential implications for fiduciary obligations under California law. This may warrant further evaluation regarding compliance with GAAP applicable to governmental entities, as well as alignment with expectations of fiduciary responsibilities (including duties of care, loyalty, and candor) under California law. The matter is highlighted here strictly as a risk management concern and is not intended as legal advice.

- 7) During discussions with Administrative Services, it was reported that none of the seven individuals in the Accounting function (excluding the HR Analyst) holds a bachelor's or master's degree in accounting, nor does any possess a significant accounting certification, such as a CPA.

This staffing composition is noteworthy considering the magnitude of certain budget and financial reporting issues that have arisen in recent years, including substantial revisions to prior figures. The City Manager explained that he observed confusion amongst some individuals (including within the Finance Committee) about the budget deficiencies and what they comprise.

- 8) An executive manager reported that, during the tenure of a former (now-terminated) executive manager in Public Works, employees were instructed that they were not permitted to perform work without specific authorization and that required tasks must instead be assigned to contractors. The same executive manager further indicated that, because of this directive—combined with an overall lack of management oversight and assignment of duties—many Public Works employees were not performing their assigned responsibilities.
- 9) A formal request was made to the Director of Public Works for work volume and performance data in the following functional areas: buildings and streets, parks and trees, underground utilities, water treatment, and wastewater. The requested information was not provided in any meaningful detail. Subsequent discussions with the Director indicated that systematic tracking of such data does not currently exist.

Considering Public Works' status as a significant cost center and the projected multi-million-dollar scale of infrastructure investments, the lack of robust performance and workload monitoring represents a material weakness in oversight. This gap impairs the City's capacity to evaluate the efficiency and effectiveness of its workforce and contractor expenditures and elevates the risk of undetected resource misallocation.

- 10) Interviews with City personnel and examination of existing records indicate that minimal data is captured and maintained through formalized management systems. Data that is retained is predominantly stored in hard-copy documents or standalone Excel files, without version control, change tracking, or audit trails to monitor edits or safeguard integrity.

These conditions reduce the reliability and traceability of information and heighten the potential for undetected modifications to critical records.

- 11) In Deliverable 3A, Blackberg recommended that the City implement minimum capability requirements for Administrative Services and other departments, specifically including accounting degree qualifications and professional certifications (e.g., CPA licensure) for relevant accounting positions. We were informed that the City Manager shared this interim deliverable with the Director of Administrative Services prior to completion of Deliverable 3 or the overall report, resulting in a requested meeting between Blackberg and the Director.

During the discussion, the City indicated that it did not support mandating accounting degrees or significant certifications for its accounting staff (e.g. CPA), including senior-level personnel. The City requested additional research to substantiate the recommendation (which has been performed and will be submitted separately).

These interactions are recorded as they reflect an atypical level of departmental involvement at the interim stage and a substantive disagreement with a foundational professional qualification standard.

- 12) Blackberg delivered Draft Deliverable 3A on November 5, 2025. On November 6, 2025, the City Manager, issued a response (refer to Email A in the Appendix). This immediate reply—evidently prompted by the deliverable's first paragraph—departed from the City's typical review timeline for prior deliverables.

The City Manager's email reproduced a paragraph from Draft Deliverable 3A (italicized) with added yellow highlighting, which he associated with his statement that the introductory remarks were "disconcerting." For the record, Blackberg did not understand why the City Manager would find Blackberg's statement, "*Blackberg decided to conduct a salary benchmark analysis*" to be "disconcerting." The highlighted material addressed Blackberg's conduct of a salary benchmark analysis, based on information obtained through discussions with the City's HR Analyst.

Prior to submission, in October 2025, Blackberg requested current salary and staffing data from Mandy Kellogg, Director of Administrative Services (see Email B). No responsive data was received. Blackberg therefore sourced and analyzed publicly available salary information from the State of California website, with accuracy subsequently confirmed by Ms. Kellogg.

The City Manager further commented, “While I applaud you for taking the initiative to conduct a compensation study, it is truly not needed and if your firm has additional capacity, we would like you to focus on some additional areas. Please do not misunderstand, if you intend to verify the work of the city’s consultant for some reason, go for it, but I believe that would be duplicative (thus inefficient). Glad to discuss this with you if you so desire.”

The documented exchange is noted as it represents an atypical engagement dynamic in the context of compensation benchmarking findings that revealed substantial upward variances in managers’ total compensation compared to market benchmarks. Our expectation was that the City Manager would be very interested in this and ask for more details and investigation because our results showed that the City might be systematically and largely overpaying many managers. Based on our experience, the City Manager’s email response is a highly unusual reaction to such data and findings.

- 13) In Draft Deliverable 3A, Blackberg reported: (1) that interviews with the HR Technician indicated the City had not maintained significant or reliable benchmark data on salaries, benefits, and other compensation; and (2) that the City should establish minimum capability standards for financial and accounting personnel, with preferred qualifications such as accounting degrees or certifications. The City responded that these statements were in error, citing a Compensation Analysis by Ralph Andersen & Associates and a Full Classification and Compensation Study that included minimum qualifications for City positions.

However, we emphasize that we discovered it had not “maintained...benchmark data...based on interviews with the HR Technician.” If the HR Technician, who is the only City employee with an HR designation, does not have the Compensation Analysis or the Full Class and Comp Study, then how can anyone be confident that it is being maintained? Further, multiple managers reported that consultant deliverables are frequently received but infrequently referenced or utilized in ongoing operations.

Blackberg responded to the City by verbally requesting copies of the referenced Compensation Analysis and Full Classification and Compensation Study. The immediate verbal response was: “well we might not have it available, but we can probably get it from our consultant.” The subsequent email providing one of the documents included a consultant in the thread to furnish the information. If the City does not have the documents readily available, it indicates that the City is neither routinely using nor maintaining benchmark data.

Review of the reports provided by the City revealed the following:

- A. The Full Classification and Compensation Study is dated November 5, 2018—approximately seven years old as of 2025/2026—and is labeled 'DRAFT' on the document. A study of this age and status does not align with the concept of ongoing maintenance of current benchmark compensation and classification data, particularly given the passage of time into 2025/2026. Questions remain regarding whether a final version was delivered, is retained by the City, or contains substantive differences from the draft provided. Blackberg sample reviewed the Finance Manager role (contained in the study), the study specifies the following educational qualification: “Any combination of education and experience that has provided the knowledge, skills and abilities necessary for a Finance Manager.” This criterion lacks specificity and does not establish clear, objective standards for minimum or preferred educational qualifications. The description’s breadth leaves it open to almost any interpretation, arguably the exact opposite of a standard.
- B. Blackberg reviewed the 2024 Compensation Analysis provided by Ralph Andersen & Associates. For the position of Assistant Administrative Services Director (See **Figure 3**), the analysis presents multiple descriptive statistics, including: St. Helena Rank, Coefficient of Variance, Number of Observations, Variability, Labor Market Mean, Labor Market Median, 25th Percentile, 75th Percentile, and Percentile Rank. The underlying sample size for this position consists of three observations. While a sample of three comparator agencies may be sufficient for narrowly targeted recruitment from those specific entities, the

application of extensive descriptive statistics to such a small sample limits the statistical reliability of the results when used to assess fairness of salaries and total compensation relative to the broader regional labor market.

Blackberg requested additional clarification from the City via email on January 5, 2026. As of the date of this report, no reply has been received.

The email stated: "Good morning and Happy New Year! I'm working on updating the Deliverable 3A with the information that you shared. You sent me the Ralph Andersen data for 2024; however, the documents that you sent in this email were from 2018/2019. Did Ralph Andersen conduct the 2024 update? Also, do you have documents from Ralph Andersen for the 2024 that provide information on their approach (similar to how these attached documents do)?"

The purpose of the request was to verify whether Ralph Andersen & Associates performed a 2024 update and, if so, to obtain any accompanying documentation describing their methodology, consistent with the detail level of the previously submitted materials."

ST HELENA LABOR MARKET SALARY SURVEY

Statistics computed using range Control Point/Max

Assistant Administrative Services Director

Agency	Comparable Class Title	Minimum	C.P./Max	Spread
Vacaville	Assistant Dir of Finance	\$ 11,942	\$ 14,509	21.5%
St Helena	Assistant Administrative Services Director	\$ 11,517	\$ 13,999	21.6%
Santa Rosa	Deputy Director of Finance	\$ 10,549	\$ 13,645	29.3%
Novato	Deputy Director of Administrative Services	\$ 11,184	\$ 13,594	21.5%
American Canyon	No Comparable Class			
Calistoga	No Comparable Class			
Fairfield	No Comparable Class			
Healdsburg	No Comparable Class			
Napa	No Comparable Class			
Petaluma	No Comparable Class			
Rohnert Park	No Comparable Class			
San Rafael	No Comparable Class			
Yountville	No Comparable Class			
St Helena Rank		2/4	Market Value	Percent +/-
Coefficient of Variance		4%		
Number of Observations		3		
Variability		Low		
Labor Market Mean			\$ 13,916	0.59%
Labor Market Median			\$ 13,645	2.53%
25th Percentile			\$ 13,619	2.71%
75th Percentile			\$ 14,077	-0.56%
Percentile Rank			70	

Figure 3 – Compensation Analysis: This image was taken from the Compensation Analysis that City told us was completed by Ralph Andersen in 2024.

The preceding examples illustrate select findings from Blackberg's review. The combination of limited data tracking, inadequate performance monitoring, weak internal controls over financial and operational information, minimal

professional qualifications in key functions, and reliance on outdated or externally sourced consultant materials creates a significant control environment vulnerability.

Historically (not in St. Helena), we have seen examples of municipal government employees developing “revolving door” style relationships with small, local/regional consulting firms. These consulting firms deliver reports and data that are mostly inaccurate, misleading or unreliable but support what government employees want. In turn, these firms receive repeated contracts for work. Historically (not in St. Helena), we saw this involve multiple municipalities with the same network of individuals and consulting firms engaged in revolving door style situations. Blackberg is not saying that this is happening in St. Helena. However, the current control deficiencies and oversight gaps materially elevate the inherent risk of undetected misuse of resources or improper influence in procurement and advisory relationships.

Critical Recommendation: Based on the findings from Blackberg's current state assessment—scheduled to conclude this month (January 2026)—which has identified potential vulnerabilities in financial controls, operational processes, and resource stewardship within the City's administration, we recommend the City Council procure specialized consulting services focused on fraud, waste, and abuse (FWA) detection, prevention, and mitigation.

Blackberg Group, LLC cannot serve in this capacity due to an inherent conflict of interest. As the firm that recently conducted the current state assessment (concluding this month, January 2026), Blackberg has deep prior involvement in evaluating the City's financial controls, operational processes, and potential vulnerabilities. Engaging the same firm to perform the subsequent specialized FWA analysis and detection work would potentially compromise objectivity, independence, and the integrity of the investigation. This could undermine public confidence in the findings and expose the City to risks of perceived or actual bias. However, Blackberg will provide recommendations in Deliverable 4 that will include tactics to detect and prevent FWA.

To preserve the credibility, thoroughness, and impartiality of this next step, **the City should engage an entirely independent third-party consulting firm with no prior contractual relationship or involvement with the City.**

- The selected firm should have:
 - **no previous engagements** with the City (as contractor, consultant, subcontractor, or otherwise) to avoid any appearance—or reality—of compromised independence.
 - Comprehensive FWA risk assessments and data-driven analytics to identify irregularities in procurement, payroll, grants, contracts, and other high-risk municipal functions.
 - Forensic accounting capabilities, including transaction tracing, loss quantification, evidence preservation, and expert witness support for investigations or litigation.
 - Proactive prevention strategies, such as enhancing internal controls, establishing or improving anonymous hotlines, conducting staff training, and implementing continuous monitoring tools.
 - A track record of serving city or local governments, ensuring familiarity with public sector regulations, transparency requirements, and taxpayer accountability.
- Procurement guidelines should explicitly require disclosure of any past or current relationships with the City, its officials or employees, or related entities, with disqualification for any material conflicts.
- Preference should be given to firms demonstrating a strong track record of ethical independence in public sector engagements, including adherence to professional standards (e.g., those from the Association of Certified Fraud Examiners or Government Auditing Standards).

2.3. Staffing Reductions

Overall, the City is somewhat lean in terms of number of staff if you assume low/no use of automation, artificial intelligence solutions, and poorly defined business processes, which is the City's current state. However, there are some interventions that could lead to staff reductions.

Community Services Department (Library) – The Library is well-managed and well-run. We found extensive evidence that, based on performance ratios, one could argue that the Library is in a top 10 position (in terms of performance quality) for libraries of its size across the country. We base this on its performance ratios compared to Public Library Survey (PLS).

Nonetheless, based on the same PLS, the Library is also highly staffed and expensive. To bring the Library closer to average (it would still be above average), the City could remove 1 Master of Library Sciences (MLS) prepared staff member and 1 junior individual.

The total annual savings from a 2 FTE reduction would reach approximately \$270,000. However, such a reduction would undoubtedly diminish the quality and quantity of services. Blackberg does not recommend this reduction action; however, we believe it is important for the City to be aware of the facts and option.

Community Services Department (Broadly) – Based on our recommendation to restructure the Community Services Department, the City could eliminate the Director of Community Services position. However, we believe it would need to hire an additional Recreation Supervisor. The reduction would save approximately \$240,000; however, the additional Recreation Supervisor would cost \$135,000 more. This results in a net savings of about \$105,000.

Administrative Services Department – Reductions to Administrative Services are not possible until AI, automation, and process improvement solutions are complete. However, once those efforts are completed, a reduction of 1-2 FTEs is possible (most likely 1.5). To be conservative, we will assume only a one (1) FTE reduction (likely an Accounting Technician). The cost savings is approximately \$100,000. However, we do believe this Department is likely in need of staff reallocation. Specifically, Blackberg believes the City needs a part-time IT Manager and part-time HR Manager. This will likely cost an additional \$200,000 - \$300,000 for both part-time positions. Of the two positions, Blackberg believes the HR Manager is most critical for the City's future success.

Community Development Department – Community Development may be able to reduce staffing by one (1) FTE with the implementation of AI, automation, and process improvement. The Permit Technician I is the potential position; however, a full 1 FTE reduction is optimistic. It is more likely that the City could reduce this position to a 0.5 FTE. The cost savings would be approximately \$50,000.

Public Works – Public Works has an opportunity for some personnel reductions through restructuring. Based on our recommendations, the City could remove the Project Manager and Environment Services Technician II positions. However, we recommend adding a Director of Water and Sanitation. The cost savings from the reduction is approximately \$280,000. The cost increase of the Director Water and Sanitation is approximately \$180,000. This results in an approximate total cost savings of \$100,000.

These are all the areas within the City where Blackberg identified potential cost savings through staff reductions/reallocations. The total potential cost savings is approximately \$625,000 if you do not include hiring the part-time IT Manager and part-time HR Manager.

2.4. Strategic Partnerships for Human Resources

The City may have opportunities to reduce costs on certain employee positions through strategic partnerships. Strategic partnerships include forming relationships with other municipal governments to share human resources. There are two areas of possibility:

- 1) The HR Technician position is an enabler for much needed improvements to the Talent Management System. The City currently pays a total compensation of approximately \$80,000 annually with additional benefits costs of about \$18,600. We believe the total compensation is reasonable to acquire the expertise needed. However, the City does not need a full-time employee to develop and run the Talent Management System. This is an opportunity for the City to partner with another small town (possibly Calistoga) to split the cost and employee time. If successful, this would produce an approximate cost savings of \$48,000 annually.
- 2) The Fire Chief and Police Chief positions also have a similar possibility of sharing the cost with another small town; however, the opportunity will be much more geographically limited than with the HR Technician. Likely, Calistoga is the only small town with geographic proximity to the City to enable such a strategic partnership. However, if

successful, the two cities could split the costs of both the Fire Chief and Police Chief positions. This would result in a cost savings of approximately \$335,000 annually. This is a function of splitting their combined total pay and benefits for both positions.

2.5. Total Potential Cost Savings

Blackberg examines three primary areas for cost savings: Management Compensation Reduction, Staffing Reductions, and Strategic Partnerships. **Figure 4** summarizes the potential cost savings.

With Staffing Reductions, the City needs process maturation, IT automation, and artificial intelligence (AI) solutions to enable the staff reductions in all areas except for the Library. If the City decides to reduce Library staffing, it will reduce the availability of services and programs. However, the reductions in the other Departments should not negatively impact effectiveness of services because the efficiency gains are enabling the staff reductions.

The Strategic Partnership cost reductions are contingent on the City's ability to form an agreement with Calistoga (or other nearby city).

In addition to the cost savings, Blackberg estimates that the increased use of IT automation and AI solutions will cost the City approximately \$80,000 more per year than current IT SaaS spending.

Further, it would be inaccurate to assume that the City can capture the cost savings of both the reduction in salaries of the Fire Chief and Police Chief while also capturing the reductions of strategic partnerships for those two positions. Therefore, we need to look at a few scenarios:

Scenario 1: The cost savings of salary reductions are fully realized, but the strategic partnerships do not happen. In this case, the total cost savings are \$1,283,678.

Scenario 2: The salary reductions are not possible, but the strategic partnerships do occur. In this case, the total cost savings are \$1,354,817.

Scenario 3: Both the salary reductions and the strategic partnership occur. In this case, the total cost savings are \$1,640,456.

2.6. Sensitivity Analysis

The three cost savings scenarios in Figure 4 assume an aggressive and highly successful set of results across all areas (particularly with staff total compensation reduction efforts). Realistically, there is likely to be some flaws and missed opportunities in these efforts. Therefore, Blackberg provides a high, expected, and low success set of outcomes for these three scenarios (See **Figure 5**). Further, the cost reductions will accumulate over time. If the City were to seek all cost savings opportunities, we expect those savings could begin within three (3) months and be fully realized within three (3) years.

Potential Cost Savings

Management Compensation Reduction	Savings
Analyzed Postions	590,678
Additional Management Positions	100,000
Total:	690,678
Staffing Reductions	
Library	270,000
Community Services Department	105,000
Administrative Service Department	100,000
Community Development Department	50,000
Public Works	100,000
Total:	625,000
Strategic Partnerships	
HR Technician	48,000
Fire Chief and Police Chief	261,565
Total:	309,565
Total Potential Cost Savings:	
Scenario 1:	\$ 1,363,678
Scenario 2:	\$ 1,434,817
Scenario 3:	\$ 1,720,456
Additional IT & AI SaaS costs	80,000
Total Potential Cost Savings (IT Cost Adjustment):	
Scenario 1:	\$ 1,283,678
Scenario 2:	\$ 1,354,817
Scenario 3:	\$ 1,640,456

Figure 4 - Potential Cost Savings Areas: The City has an opportunity to capture approximately \$1.6 million in cost savings.

Although Blackberg believes the cost savings are available, we do not believe that the City should seek to simply reduce personnel spending one-for-one. There are known gaps in roles and capabilities into which the City should seek to reallocate some of the cost savings. These roles include an HR Manager and an IT Manager.

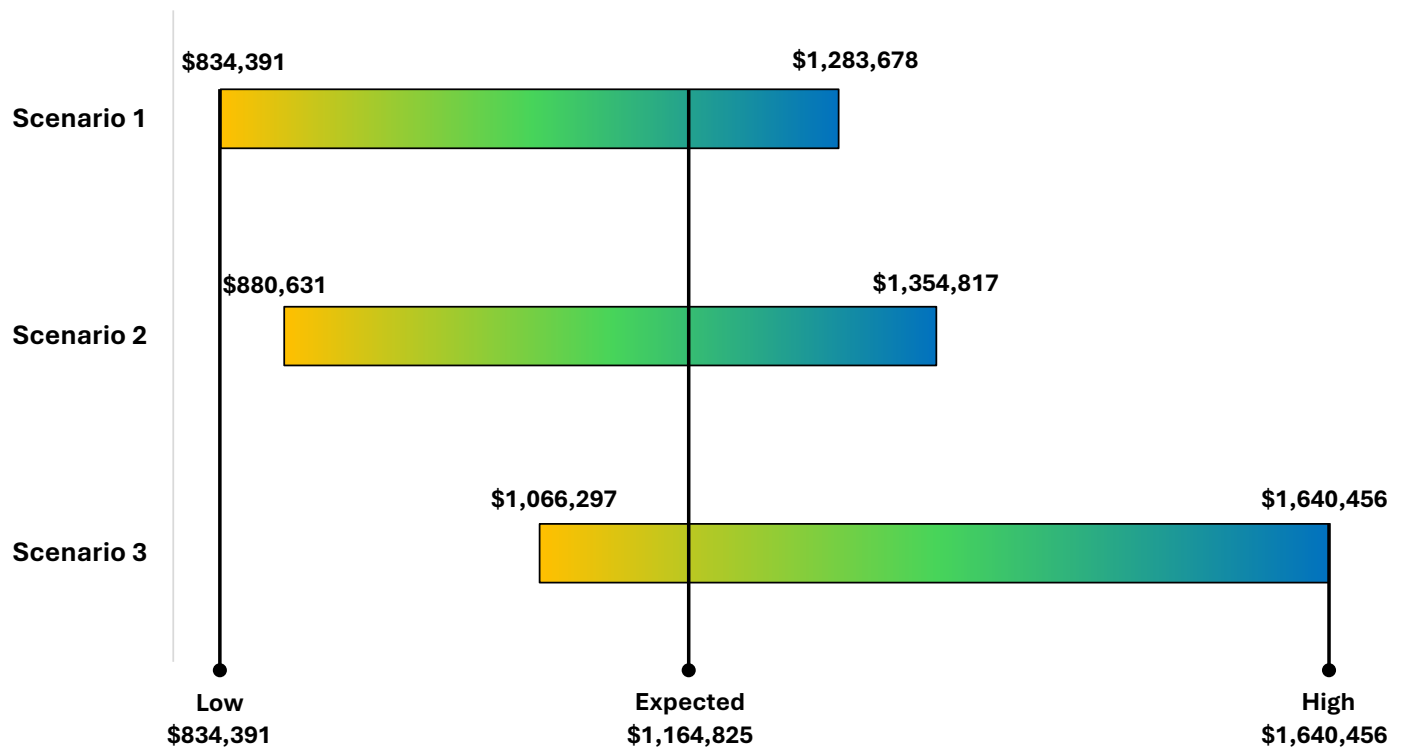


Figure 5 - Sensitivity Analysis: The sensitivity analysis explores outcomes per scenario based on fluctuations in the total compensation reductions that the City can achieve in attempting to align it with Small Town averages.

3.0 Cost Avoidance

Blackberg would like to highlight two areas of potential cost avoidance for the City. First, with implementation of a Talent Management System, the City will improve overall staff capabilities and expertise. This will enable the City to reduce its need for outside consultants to provide expertise. It's very difficult to estimate what the amounts might be; however, they will generate material reductions. Second, the City may have some opportunities to avoid costs through improved procurements for contractor support. We believe these opportunities may be present in Public Works, particularly with the increased expected spending on capital projects. We reviewed the "5-Year Capital Improvement Plan" in the "Proposed Operating Budget Fiscal Year 2026 & 2027." There are many "projects" listed that have similar scopes of work. Rather than considering these as individual projects, there may be economies of scale and scope possible from consolidating the efforts planned for contractor performance into two to three contracts. The projects would become individual tasks within a contract with project management applied across the design-repair-build efforts of all tasks collectively.

4.0 Conclusion

Blackberg's Financial Efficiency Review identifies approximately \$0.8–\$1.6 million in annual potential cost savings or avoidance through three key areas: aligning management compensation with market benchmarks, targeted staffing reallocations enabled by process maturation and IT/AI adoption, and strategic partnerships for select roles such as HR Technician, Fire Chief, and Police Chief. Realizing these savings will require disciplined execution: incremental investment in automation/AI (\$80,000–\$120,000 annually), process maturation, partial reallocation of funds to essential part-time HR

and IT Manager positions, and pursuit of viable strategic partnerships. With phased implementation, net savings of approximately \$1.16 million annually are achievable within three years.

The analysis reveals materially above-market manager compensation, alongside significant control environment vulnerabilities—including limited data tracking, inadequate performance monitoring, outdated consultant resources, low specialized qualifications in critical functions, and governance indicators that collectively heighten the risk of undetected inefficiencies or integrity concerns. While no evidence of active corruption has been substantiated, these structural weaknesses merit serious attention. Blackberg strongly recommends that the City procure an independent, specialized consulting firm to conduct a comprehensive fraud, waste, and abuse (FWA) assessment. This third-party review may need to apply forensic-level scrutiny to high-risk areas (procurement, contracts, payroll, and capital projects) to protect public resources and rebuild trust. Blackberg cannot perform this role due to an inherent conflict of interest.

The City has a clear opportunity to significantly improve financial efficiency by strengthening financial stewardship, modernizing operations, and enhancing accountability for the long-term benefit of St. Helena residents.

Appendix A – Emails.

EMAIL A

The following email was sent to Blackberg on 11/6/2025 at 7:00 PM.

Keith,

I just began to read your most current report and had to stop after reading the very first paragraph. Please see my comments after this quote.

The scope of Blackberg's work does not include reviewing salaries, other compensation, or benefits. However, we discovered that the City has not maintained any significant or reliable benchmark data on salaries, benefits, and other compensation based on interviews with the HR Technician. To the contrary, based on multiple interviews with City staff, there is considerable disagreement about the adequacy of total compensation and many express serious concerns about total compensation data that is discussed (in terms of quality and reliability). While we do not need this data to complete Task 3A, it would be helpful to have some benchmark data. Furthermore, to ensure a robust delivery of a separate future deliverable (i.e. Deliverable 3C-Cost Savings Potential), Blackberg decided to conduct a salary benchmark analysis. This will help inform our future input on the need for a Talent Management System, which the City currently completely lacks. We begin this deliverable with the salary benchmark analysis and then shift to concerns about structure, staffing levels, and resource allocations.

I will make it a priority to review the rest of the report in the next few days. But the statements in the first paragraph are disconcerting.

The City has for several years used a consultant to conduct total compensation surveys. That consultant has over 30 years of experience doing this type of work. The results of the surveys have been reviewed/negotiated with each bargaining group and city council prior to implementation each time. Since labor negotiations are held with representatives of each bargaining group, it is unlikely that individual employees will be fully informed about the basis, logic, and bargaining that goes into the final compensation package. In fact, in California the employer is prohibited from discussing these issues directly with employees. Further, for this year, the consultant has already begun to conduct the compensation study. That consultant has already met with the City Council and Finance Committee sub-committees to discuss the benchmark agencies and has begun to gather data. Compensation, as you can imagine, is a sensitive subject for staff, city council and the residents so conclusions need to be arrived at with strong factual basis. As with my previous email, I emphasize that the source of information needs to be credible.

While I applaud you for taking the initiative to conduct a compensation study, it is truly not needed and if your firm has additional capacity, we would like you to focus on some additional areas. Please do not misunderstand, if you intend to verify the work of the city's consultant for some reason, go for it, but I believe that would be duplicative (thus inefficient). Glad to discuss this with you if you so desire.

Thanks

ANIL COMELO
CITY MANAGER
City of St. Helena

EMAIL B

The following email chain was initiated to Mandy Kellogg on 10/27/2025 at 8:34AM.

From: Mandy Kellogg <mkellogg@cityofsthelena.gov>

Sent: Tuesday, October 28, 2025 2:16 PM

To: Keith <Keith@blackberggroup.com>

Cc: Andrew Bradley <abradley@cityofsthelena.gov>; Martin Beltran <mbeltran@cityofsthelena.gov>

Subject: Re: Salaries and Additional Cost

Hi Keith,

Yes, this was received. We are trying to run a report from our system to provide the data which Martin is working on. If we cannot, I will just provide you with the spreadsheet we use for budget development.

Attached is our cost allocation plan for the indirect costs. It is not finalized as the Finance Committee would like to dive deeper in it, but it was used in our current budget with the expectation that amendments may be necessary depending upon the results of the final version.

Thank you,

MANDY KELLOGG

ADMINISTRATIVE SERVICES DIRECTOR

City of St. Helena | Administrative Services

1088 College Avenue | St. Helena, CA 94574

Direct: (707) 968-2649 | Mobile: (707) 312-1260 | mkellogg@cityofsthelelena.gov | <http://cityofsthelelena.gov/finance>

PLEASE NOTE: we have transitioned to .gov for our email addresses and website. My new email address is mkellogg@cityofsthelelena.gov.

From: Keith <Keith@blackberggroup.com>

Sent: Tuesday, October 28, 2025 10:58 AM

To: Mandy Kellogg <mkellogg@cityofsthelelena.gov>

Cc: Andrew Bradley <abradley@cityofsthelelena.gov>

Subject: Re: Salaries and Additional Cost

Hi Mandy,

I just wanted to circle back on this and make sure you received my email.

Thank You!

Kind Regards,

Keith

From: Keith

Sent: Monday, October 27, 2025 8:34 AM

To: Mandy Kellogg <mkellogg@cityofsthelelena.gov>

Cc: Andrew Bradley <abradley@cityofsthelelena.gov>

Subject: Salaries and Additional Cost

Hi Mandy,

I'm going to examine salaries and staff structure this week. Can you provide me a complete list of City employees and their salaries plus additional costs (fringe benefits, overhead, or indirect costs). I don't need fringe, overhead, and indirect broken out. I simply need the base salary plus the total of fringe, overhead, and indirect. Thank you!

Kind Regards,

Keith



Technology Utilization & Modernization

February 2, 2026

Efficiency and Business Transformation Study



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1.0 Executive Summary

The City of St. Helena (City), a small municipality with an estimated population of approximately 5,200–5,400 residents, faces the classic challenges of limited resources, outsourced Information Technology (IT) support, and the need for resilient digital infrastructure amid growing cyber threats. Following a significant ransomware attack in May 2024 (attributed to a known group, which disrupted systems, forced closures including the public library, and compromised data for nearly 1,000 individuals), the City transitioned to managed services with Apex Technology Management, LLC in July 2025. This shift has stabilized operations, but persistent issues remain: reliance of on-premise servers (notably the Police Department’s RIMS system), integration gaps across SaaS platforms (e.g., manual transfers between Springbrook and OpenGov), underutilized tools like ArcGIS, and low cybersecurity training compliance.

The City’s total annual IT subscription spend is approximately **\$293,637**, supporting a diverse ecosystem heavy on Microsoft products for productivity, alongside specialized tools for finance, permitting (eTRAKiT launched September 2025), and other functions. While embedded Artificial Intelligence (AI) features in Microsoft 365 (e.g., Copilot), OpenGov, and Springbrook offer untapped potential, no dedicated AI procurement has occurred as of November 11, 2025. Hardware includes aging on-premise servers across seven sites and a costly \$2,700 monthly rented data center.

This report assesses current utilization and recommends a phased modernization strategy to enhance efficiency, effectiveness, and resident experience. Key **IT Management Enhancements** include adopting a simplified, tailored hybrid framework and management systems: **TOGAF** for strategic enterprise architecture alignment (focusing on lightweight Architecture Development Method (ADM) subsets for cloud migration and interoperability); **ITIL 4** for agile, value-driven service management (e.g., incident handling and continual improvement); **CMMI V3.0** for process maturity progression (targeting Level 3 from current Levels 1-2 to reduce risks and enable insurance savings); plus **ISO standards** (e.g., 27001 for security), **RASCI** for clear roles, and **Knowledge Management** for capturing expertise.

IT Solution Enhancements prioritize 100% cloud migration (e.g., to Azure) for superior security, scalability, and 20–30% overhead reduction; replacing non-migratable RIMS with Criminal Justice Information Services (CJIS)-compliant cloud alternatives (e.g., NicheRMS or eFORCE RMS) to eliminate data center costs; integrating SaaS tools into a cohesive Enterprise Resource Planning (ERP)-like system; and piloting embedded/ethical AI for automation (e.g., permit processing in eTRAKiT, predictive maintenance in Public Works, chatbots for inquiries) while avoiding unproven standalone vendors.

A structured **IT Governance Committee** (5–7 members: City Manager chair, department reps, Apex liaison, council member) will oversee alignment, prioritize projects via RASCI, monitor KPIs (e.g., >99% uptime, >90% training compliance), and require monthly Apex reports plus annual audits/tabletop exercises.

The **phased roadmap** starts short-term (0–6 months) with training enforcement, IRP completion, RIMS RFP, and AI pilots; advances medium-term (6–18 months) to full migration, integration, and framework pilots; and targets long-term (18+ months) CMMI Level 3, expanded AI, and ROI tracking. Initial investments (~\$50,000–\$100,000) are offset by efficiencies (10-20% labor savings, eliminated rentals) and risk reductions in California’s high-threat cyber landscape.

Implementing these recommendations positions St. Helena to evolve from reactive recovery to proactive, citizen-centric governance—delivering reliable services, cost savings, enhanced security, and public trust while serving as a model for small California municipalities.

2.0 Introduction

The City of St. Helena (City) has been actively working to integrate information technology (IT) solutions and automation into its operations. For the Community Development Department, the City launched eTRAKiT in September 2025, streamlining permitting and tracking processes. Additionally, the City has been examining artificial intelligence (AI) solutions for the past two years. As of November 11, 2025, no specific AI solution has been purchased; however, several existing IT platforms already incorporate AI capabilities. Notable examples include Microsoft 365 (with AI-driven features like Copilot for productivity), OpenGov (for data analytics and transparency), and Springbrook (for financial management automation).

Blackberg's primary focus in this review is to assess the City's current IT utilization and provide actionable recommendations for modernization. These recommendations aim to directly or indirectly support improvements in efficiency, effectiveness, and customer experience. This analysis is informed by the City's IT subscription inventory, discussions with Apex, departmental insights, and broader municipal cybersecurity trends.

The City's IT landscape reflects a small municipality's typical constraints: limited in-house expertise, reliance on outsourced providers, and a mix of legacy and modern systems. Recent events, such as the 2024 ransomware attack, underscore the need for robust modernization to mitigate risks and enhance service delivery.

3.0 Current IT Inventory

The City provided Blackberg an Excel list of IT Subscriptions by Department. We will reference items on the IT Subscriptions list throughout this document. We provide information from that list in Figure 1. The total annual cost of all IT Subscriptions is approximately \$293,637.

Department	IT Subscriptions	FY24 Annual Cost (\$)	Expected Retention Period	Notes
City-wide	Microsoft 365	23,715	5+ years	
City-wide	Microsoft Project	2,892	5+ years	
City-wide	Adobe	9,585	5+ years	
City Clerk	ECS Imaging - Laserfiche	13,850	5+ years	Recently Implemented
City Clerk	I-compass	6,880	5+ years	
City Clerk	Granicus	1,504	5+ years	
Finance	Springbrook	55,362	5+ years	No Plans
Finance	Stampli	14,400	2+ years	Implemented in FY 2024
Finance	Breeze Smartware	1,980	5+ years	
Finance	GovInvest	12,381	Cancel in FY25	We might keep it now
Finance	OpenGov	2,800	5+ years	
Human Resources	NeoGov	23,596	2 Years	
Human Resources	Target Solutions	9,116	5+ years	
Library	Userful	3,383	5+ years	Based on Work Stations
Library	SPLASH	50,138	2+ years	Solano County has Full Title & Ownership/ Payment Varies
Library	OCLC	2,829	2+ years	
Planning	TrakIT	24,625	Cancel in FY25	Can cut, Migrating to New Software
Public Works	ArcGIS	1,043	5+ years	
Police	RIMS	17,248	5+ years	
Police	LEFTA	1,639	5+ years	
Police	Critical Reach	250	5+ years	
Fire	Zoll	2,453	Cancel in FY24	It is gone, Migrating to New Software

Department	IT Subscriptions	FY24 Annual Cost (\$)	Expected Retention Period	Notes
Fire	Image Trend	10,381	5+ years	
Fire	Active 911	300	5+ years	
Recreation	ActiveNet	1,288	Cancel in FY25	Now use CivicRec, Migrating to New Software
Community Development	eTRAKiT	N/A		Just launched - September 2025

*Most subscriptions auto-renew annually, providing flexibility but requiring vigilant cost management.

This inventory reveals a diverse ecosystem of Software-as-a-Service (SaaS) tools, with heavy reliance on Microsoft products for city-wide productivity. Department-specific tools like RIMS (Police) and Springbrook (Finance) address specialized needs, but integration gaps—confirmed with Finance—hinder seamless data flow. For instance, manual data transfers between Springbrook and OpenGov reduce efficiency.

Hardware inventory includes on-premise servers at various facilities (e.g., City Hall, Water Treatment Plant), approaching end-of-life, and a rented data center costing \$2,700 monthly. The City supports operations across seven sites: City Hall/Police, Corporation Yard, Fire Department, Library, Parks & Recreation, Water Treatment, and Wastewater Treatment.

4.0 Current IT Management

IT management resides within the Administrative Services Department. The City outsources support to Apex Technology Management, LLC, which began in July 2025. Apex delivers comprehensive managed services, including:

- Network and system administration
- Security monitoring
- On-site and remote help desk (2 full on-site days weekly, remainder remote)
- Procurement
- Backup and recovery
- Database administration
- Hardware lifecycle management
- Project management

This outsourced model is common for small municipalities like St. Helena, addressing limited in-house expertise and scale. However, it introduces risks of information asymmetry without internal oversight.

A major cybersecurity incident in May 2024—a ransomware attack on on-premise servers—prompted the shift to Apex. This event aligns with broader trends: California municipalities face frequent cyberattacks, with ransomware surging 126% globally in 2025. Common vulnerabilities include outdated infrastructure and human error.

Post-incident, Apex has focused on “plugging security holes” and infrastructure improvements, including cloud backups and threat monitoring. The City maintains cyber liability insurance, providing financial protection.

Challenges include the Police Department’s reliance on RIMS, which requires on-premise servers and lacks vendor support for cloud migration. The City rents a data center from a prior provider, adding unnecessary costs.

Overall, current management ensures basic operations but lacks strategic integration and full cloud adoption, limiting resilience and efficiency.

5.0 IT Management Enhancements

To improve efficiency, effectiveness, and customer experience, Blackberg recommends enhancements in two broad categories: IT management and IT solutions.

For IT management, the City should adopt a simplified combination of established frameworks: TOGAF, ITIL 4, CMMI V3.0, and ISO standards (long-term). Start small to avoid overload.

TOGAF (The Open Group Architecture Framework): Provides blueprints for IT architecture, ensuring alignment with business goals. Use Archi (ArchiMate tool) for enterprise architecture modeling. Will help the City avoid investing in incompatible systems.

ITIL 4 (IT Infrastructure Library): Focuses on agile service management, value co-creation, and integration with practices like Agile and DevOps. It addresses “what” to deliver in value-driven services. Will help staff respond faster to outages and citizen tickets.

CMMI V3.0 (Capability Maturity Model Integration): Assesses and improves process maturity across domains (e.g., Development, Services, Security). It strengthens “how” to achieve reliable results. Potential benefits include insurance cost reductions at Level 3 certification. As the City matures operations, it must integrate the IT infrastructure into the process models—documenting where processes move from manual to automated processes and vice versa.

ISO Standards: Incorporate relevant standards (e.g., ISO 27001) for long-term compliance and quality.

The City should complement these with **Knowledge Management (KM)** (systematically capturing and sharing expertise, per APQC’s framework (See **Figure 1**) at <https://www.apqc.org/expertise/knowledge-management/interactive-km-framework>) and the **RASCI Model** (Responsible, Accountable, Support, Consulted, Informed) to clarify roles.

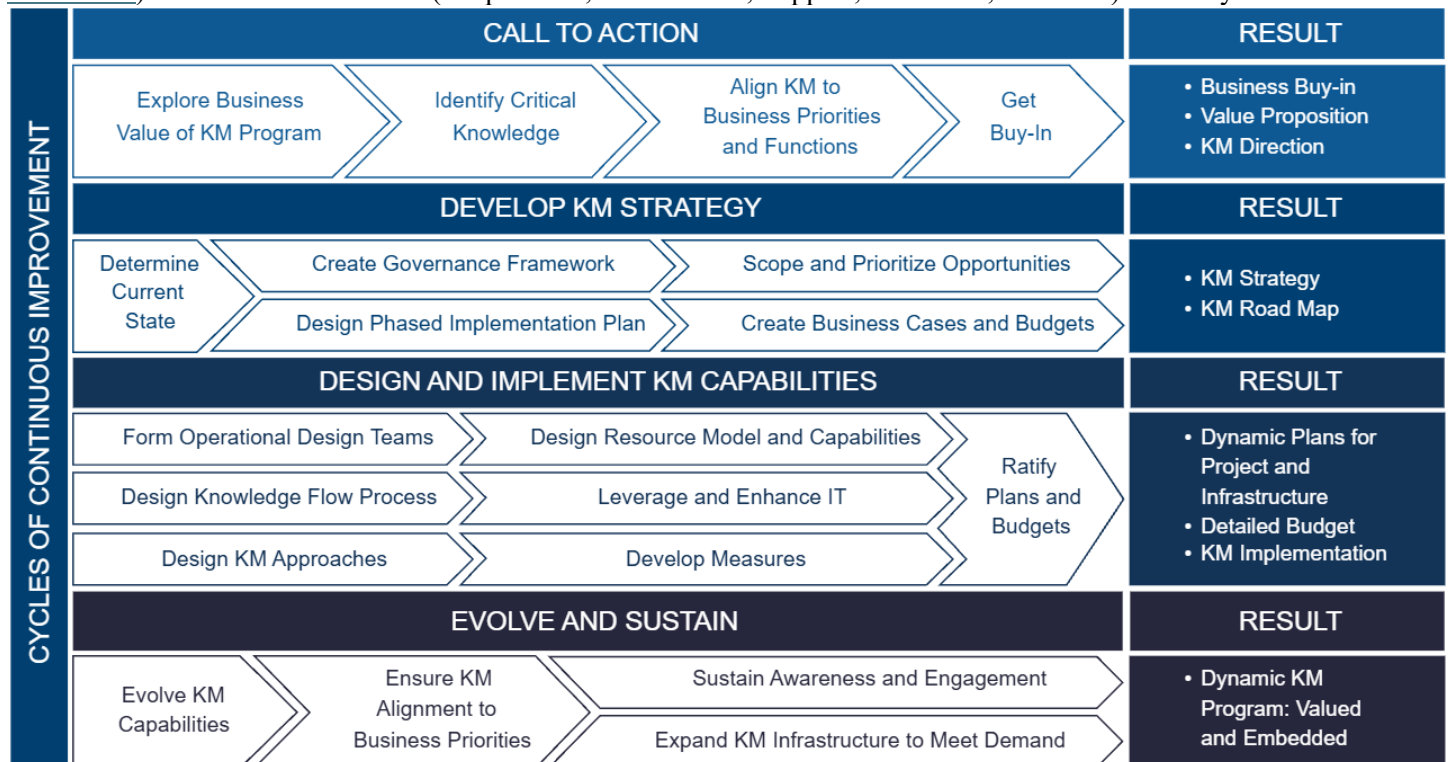


Figure 1 – Knowledge Management Strategic Framework: This strategic framework comes from the American Productivity & Quality Center which has many free resources that would be useful for the City.

Implementation: Begin with pilot projects in high-impact areas like Finance or Public Works. Train staff on basics, aiming for gradual maturity. This approach could yield predictable processes, reduced waste, and better customer service. Plan these pilots with reference to TOGAF and begin building TOGAF compliant enterprise architecture (See **Figure 2**).

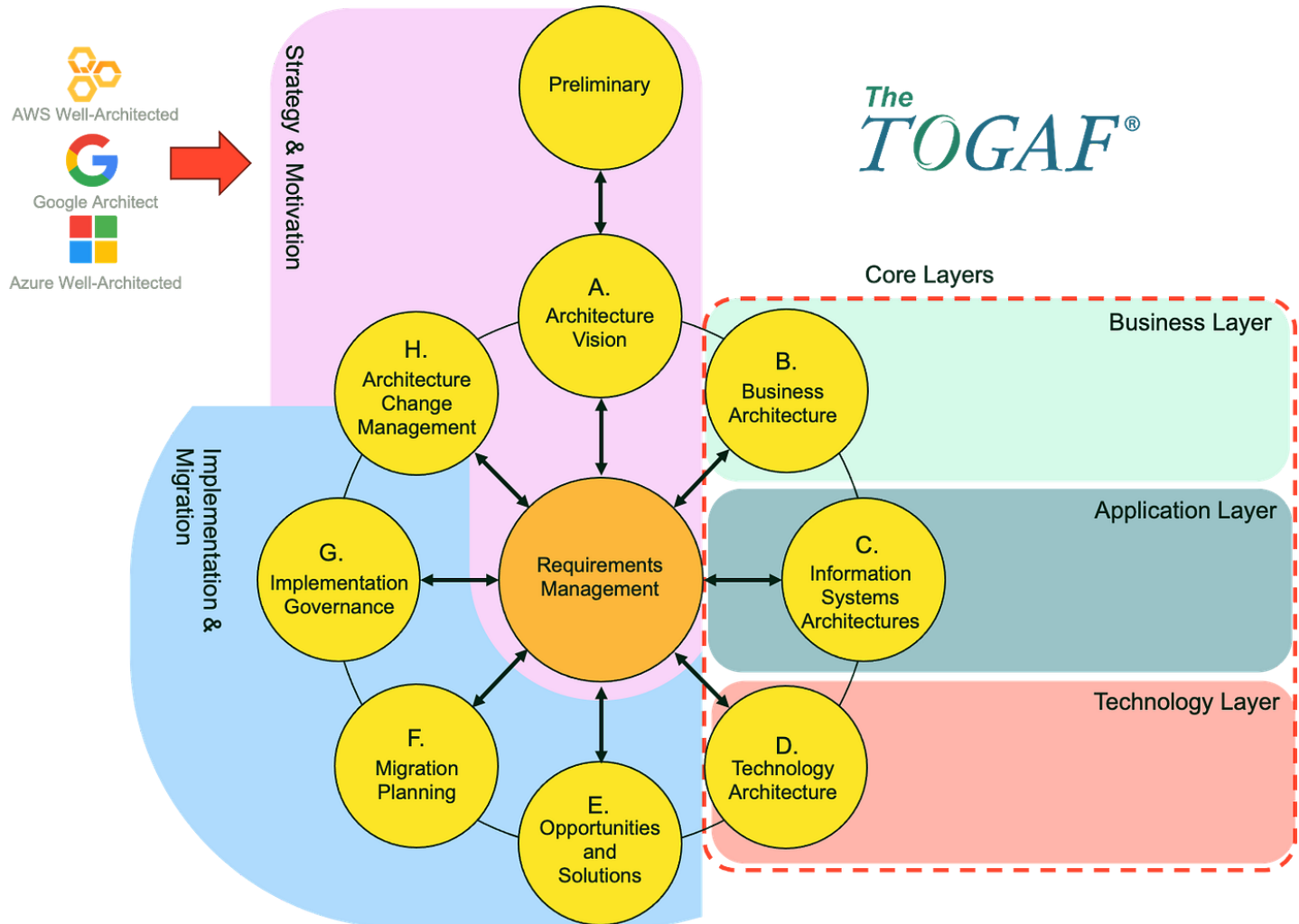


Figure 2 – TOGAF: TOGAF is a widely recognized, vendor-neutral enterprise architecture methodology that's used globally, including by many government entities.

5.1. TOGAF (The Open Group Architecture Framework)

TOGAF is a widely recognized, vendor-neutral enterprise architecture methodology that is used globally, including by many government entities. It is used by organizations of all sizes, and it is a good choice for the City. However, the City should be careful to apply it in a tailored, lightweight way. For larger organizations, TOGAF can become large and complex. The City should not seek to replicate how large organizations develop their TOGAF.

Blackberg recommend TOGAF because of the following beneficial aspects:

- **Scalability and adaptability** — TOGAF is explicitly designed to be tailored. The official standard states it's used by small, medium, and large organizations, including government departments and public sector bodies. You do not have to implement the full, heavyweight version; small cities can use a subset of the Architecture Development Method (ADM), focus on high-priority phases (e.g., business architecture and migration planning), and skip or

simplify others. This makes it suitable for smaller-scale transformations like digital service improvement, smart city initiatives, or consolidating legacy systems.

- **Proven in public sector and municipal contexts** — Many local governments and cities (including smart city projects) have adapted TOGAF successfully. Examples include its use in various U.S. municipal and local government initiatives for digital transformation, e-government services, and smart city planning. Many American cities and counties adapt TOGAF (often alongside or in comparison to the U.S. Federal Enterprise Architecture Framework, or FEAF) to align IT strategies with public priorities. It supports efforts to improve citizen-facing services (such as online permitting, 311 systems, or open data portals), enhance interoperability across departments (e.g., public works, police, utilities), and optimize limited budgets through better resource planning and reduced system duplication.
- **Vendor neutrality and common language** — As an open standard, it avoids lock-in to specific vendors (important for cities reliant on grants, multiple suppliers, or shared state/federal systems). It provides a standardized vocabulary and structured approach, which is valuable in government settings with multiple stakeholders (e.g., city council, departments like public works/IT, citizens, and regional partners).
- **Supports strategic alignment and efficiency gains** — Small cities often face challenges like aging infrastructure, limited IT staff, siloed departments, and pressure to modernize services (online permitting, 311 systems, data sharing). TOGAF helps:
 - Align technology with City strategy and citizen needs.
 - Reduce duplication and waste through better planning.
 - Improve ROI on limited funds (e.g., prioritizing cloud migration or cybersecurity).
 - Manage risk during digital transformation or smart city projects.
- **Flexibility for agile or incremental use** — Modern TOGAF editions (10th and beyond) include more guidance for agile enterprises and digital transformation, allowing integration with lighter approaches rather than rigid waterfall-style execution.

5.2. ITIL 4 (IT Infrastructure Library)

ITIL 4 is an excellent fit for small towns and municipalities, offering a flexible, value-driven framework for IT service management (ITSM) without requiring large teams or budgets. Its Service Value System emphasizes guiding principles like “focus on value,” “start where you are,” and “progress iteratively with feedback.” This is a good fit for resource-constrained environments with limited IT staff.

Small towns, like St. Helena, use tailored ITIL 4 practices (e.g., incident management, service desk, change enablement) to deliver reliable citizen services—such as online permitting, 311 systems, or utility support—while improving efficiency, reducing downtime, and responding quickly to community needs. Examples include U.S. cities like Goodyear, Arizona, adopting ITIL-aligned tools to boost ITSM maturity amid growing demands. Scalable and adaptable, ITIL 4 helps small governments maximize limited resources, align IT with public priorities, and achieve measurable improvements in service delivery.

Combining ITIL 4 and TOGAF creates a powerful, scalable framework for IT governance and service delivery. TOGAF focuses on enterprise architecture—designing the “what” of IT systems, while ITIL 4 emphasizes IT service management (ITSM), handling the “how” of operations and continuous improvement. Together, they align strategy with execution in resource-constrained municipal environments.

Complementary Strengths – TOGAF’s Architecture Development Method (ADM) provides a structured blueprint for aligning IT with city goals, such as modernizing citizen services (e.g., online permitting or 311 apps). It ensures interoperability across departments like public works, utilities, and emergency services, reducing silos and optimizing limited budgets.

ITIL 4 builds on this by operationalizing the architecture through its Service Value System (SVS). Key elements include:

- **Guiding Principles:** Focus on value, collaboration, and simplicity—ideal for small teams avoiding complexity.
- **Service Value Chain:** Manages end-to-end service lifecycle, from planning (integrating TOGAF’s designs) to delivery and improvement.
- **Practices:** 34 customizable practices (e.g., incident management, change enablement) ensure reliable operations post-architecture implementation.

In tandem:

- Use TOGAF to architect solutions (e.g., cloud-based data sharing for smart city initiatives).
- Apply ITIL 4 to manage those services (e.g., monitoring performance, handling incidents, and iterating based on citizen feedback).

Overall, this combination fosters resilient, citizen-centric IT, enabling small cities to punch above their weight in digital governance while staying agile and cost-effective.

5.3. CMMI V3.0 (Capability Maturity Model Integration)

Capability Maturity Model Integration (CMMI) is a proven, globally recognized process improvement framework that helps organizations—particularly in IT—assess, benchmark, and elevate their capabilities across development, services, data management, security, and more. In IT contexts, CMMI applies maturity levels (from 0: Incomplete to 5: Optimizing) and capability levels within practice areas, guiding organizations to move from ad-hoc processes to predictable, measured, and continuously improving ones. This maturity progression reduces risks, enhances quality, boosts predictability, and aligns IT efforts with business objectives.

CMMI excels at integrating **IT** and **automation** into broader business processes by:

Promoting standardized, repeatable workflows that incorporate tools like DevOps, AI-driven automation, and robotic process automation (RPA).

Embedding practices for data governance, security, and virtual work, enabling seamless embedding of automated solutions (e.g., automated testing, CI/CD pipelines, or AI-enhanced decision-making).

Focusing on measurable outcomes, such as reduced defects or faster delivery, while supporting integration with agile, DevSecOps, and other methodologies.

A small town, such as St. Helena, can integrate TOGAF (for enterprise architecture), ITIL 4 (for IT service management), and CMMI V3.0 (for process maturity and performance improvement) to create a holistic, scalable IT governance system. This combination addresses strategic planning, operational efficiency, and continuous improvement in public services like citizen portals, utility management, and emergency response systems. The frameworks are complementary: TOGAF provides structure for “what” to build, ITIL 4 handles “how” to operate it, and CMMI V3.0 ensures processes mature over time with measurable performance. [Note: Please see deliverables 1 & 2 for additional background and scoring of St. Helena’s process maturity and CMMI V3.0.]

Overview of Integration Approach – The City should follow these general steps to integrate CMMI, TOGAF, and ITIL 4 to maximize success in improving effectiveness and efficiency:

- **Assess Maturity with CMMI V3.0:** Begin by using CMMI’s appraisal method to evaluate current IT capabilities across domains like Development (for custom apps), Services (for citizen-facing IT), and Supplier Management (for vendors). In a small town, focus on Maturity Level 3 (Defined) to establish repeatable processes. Identify gaps in areas like project management or risk handling, which inform priorities. CMMI’s performance focus helps quantify ROI, e.g., reducing service downtime by 20% through data-driven improvements. Blackberg has already completed a process maturity assessment. Most of the City’s processes are at a maturity level of 1 with some processes reaching level 2. However, the City will need to routinely reassess its maturity level in the future.

- **Design Architecture with TOGAF:** Leverage TOGAF’s ADM (Architecture Development Method) to create a tailored blueprint aligning IT with town goals, such as smart infrastructure or e-government. Integrate CMMI insights to ensure architecture supports mature processes (e.g., Phase B: Business Architecture incorporates CMMI’s governance practices). For small-scale, skip complex phases and emphasize agility, e.g., migrating to cloud services for interoperability between departments like Public Works and Administrative Services (i.e. accounting).
- **Operate and Manage with ITIL 4:** Apply ITIL 4’s Service Value System (SVS) to operationalize the TOGAF architecture. Use guiding principles like “optimize and automate” for efficient service delivery. Map CMMI practices to ITIL’s 34 practices (e.g., incident management aligns with CMMI’s service delivery maturity). In practice, a small town could use ITIL for a service desk handling 311 requests, while CMMI tracks maturity progression.

6.0 IT Solution Enhancements

Building on the current inventory, enhancements should prioritize integration, cloud migration, AI adoption, and talent retention. Key issues include disparate SaaS tools causing inefficiencies (e.g., in Finance) and non-cloud-compatible systems like RIMS.

6.1. Cloud Migration and Integration

The City plans a 100% cloud-based environment (e.g., Azure), which is recommended for enhanced security, scalability, and cost savings (20–30% potential reduction in IT overhead). Benefits include automatic updates, robust backups, and AI-driven threat detection.

However, RIMS (Records Information Management System by Sun Ridge) poses a barrier, as it only supports on-premise servers. We recommend the City explore replacing RIMS with cloud-native alternatives:

Solution	Provider	Deployment	Key Features	Why a Good Alternative
NicheRMS	Niche Technology	Fully cloud, mobile-first	Investigation management, incident reporting, evidence tracking, AI analytics, NIBRS compliance	Matches RIMS’ case and warrant tracking; adds real-time mobile access
eFORCE RMS	eFORCE Software	Cloud and web-based	Records management, CAD integration, e-citations, evidence logging, customizable reporting	Mirrors RIMS’ citations and inmate management; user-friendly for small departments

The City should evaluate for CJIS compliance and migration support. This shift eliminates the \$2,700 monthly data center rental. Further, the City should seek to integrate existing SaaS tools into an enterprise resource planning (ERP) system (e.g., expanding Springbrook or adopting Oracle Cloud ERP) to reduce manual data transfers and labor hours. This will generate a higher annual IT cost, but it is key for achieving the staffing and finance efficiencies explored in deliverables 3A and 3C.

6.2. AI/Automation Enhancements

The City should leverage embedded AI in current tools (e.g., Microsoft Copilot for document automation) and explore dedicated solutions by well-known industry service providers. We caution against purchasing siloed, standalone AI solutions from new companies (particularly startups). Although some of the solutions may be appealing, there is often minimal customer support, integration issues, and questionable long-term viability. However, AI is clearly a valuable tool. AI can automate routine tasks like permit processing in eTRAKiT or predictive maintenance in ArcGIS for Public Works assets.

Recommendations:

- Pilot AI for customer service (e.g., chatbots for resident inquiries).
- Ensure ethical use: focus on augmentation, not replacement, with data privacy safeguards.
- Budget for training to maximize ROI. This may require the addition of a part-time IT Manager to the City’s roster of personnel.

6.3. Cybersecurity Enhancements

The City should continue to collaborate with Apex (or whatever IT service provider the City chooses to provide support) on strengthening cybersecurity. We highly recommend the City focus on compliance with City personnel completing Apex training. We observed many situations in which Apex is providing extensive flexibility and opportunities to complete cybersecurity training, but City personnel are choosing not to complete it. Our understanding is that training compliance may have been as low as only 7–12 personnel in the early Fall of 2025.

We provide further recommendations of topics to explore with Apex in the following table. We updated the “City Status” in October 2025. However, these and other cybersecurity topics should be reviewed by the City on a routine basis that is codified in City policy.

Cybersecurity Mitigation Strategies		
Strategy	Description	City Status
Robust Backup Practices	Immutable off-site backups (3-2-1 rule)	Supported by Apex (cloud backups)
Multi-Factor Authentication (MFA)	Require for all accounts	Implemented via Microsoft Authenticator
Employee Training	Phishing simulations and awareness programs	In progress; low completion rates
Zero Trust Architecture	Continuous verification and network segmentation	Implemented with ThreatLocker
Patch Management	Automate updates	Handled by Apex
Incident Response Plan (IRP)	Detailed plan with drills	To-do item for Apex
Endpoint Protection	EDR tools and firewalls	Handled by Apex
Cyber Insurance	Financial protection	In place
Resource Collaboration	Use NIST/CISA resources	Not in use

6.4. Recommendations and Implementation Roadmap

Prioritize high-impact, low-cost actions:

Short-Term (0–6 Months): Complete IRP development, enforce training completion, initiate RIMS replacement RFP, and pilot AI in one department (e.g., Finance).

Medium-Term (6–18 Months): Achieve full cloud migration, integrate SaaS tools, and implement TOGAF/ITIL pilots.

Long-Term (18+ Months): Pursue CMMI Level 3 certification, expand AI use, and monitor ROI through KPIs (e.g., reduced ticket resolution time, cost savings).

Budget implications: Initial investments (~\$50,000 for software transitions) offset by efficiencies (e.g., labor savings of 10–20%). Partner with Apex for execution.

7.0 Integrating CMMI Process Maturity, IT Automation, and AI

The City of St. Helena is at an early stage of process maturity (CMMI Levels 1-2 across assessed departments like Public Works, Administrative Services, and Community Development). This means processes are often ad hoc, reactive, and lacking standardization. Integrating efforts to boost CMMI maturity with IT automation and AI can create a synergistic approach: CMMI provides the structured framework for process improvement, while IT automation streamlines repetitive tasks, and AI enhances decision-making and predictive capabilities. This integration aligns with the study's recommendations for adopting frameworks like CMMI V3.0 alongside ITIL 4 and TOGAF, emphasizing starting small and building incrementally.

To integrate these efforts, we recommend the following phases and steps, followed by documentation strategies:

Phase 1: Establish a Unified Framework for Integration

Step 1 - Adopt a Hybrid Maturity Model: Use CMMI V3.0 as the core for assessing and advancing process maturity across domains (e.g., Services, Development, Security). Integrate IT automation and AI as key enablers within CMMI's maturity levels. For example:

At **Level 2 (Managed)**: Define basic processes for IT automation (e.g., scripting routine tasks in tools like Microsoft 365 or Springbrook) and pilot AI for simple applications (e.g., chatbots for resident inquiries via Granicus).

At **Level 3 (Defined)**: Standardize automation workflows (e.g., using OpenGov for automated reporting) and incorporate AI analytics (e.g., predictive maintenance in ArcGIS for Public Works assets).

Aim for **Level 4-5 (Quantitatively Managed/Optimizing)**: Use AI-driven metrics to optimize processes, such as forecasting budget shortfalls or detecting fraud in financial systems.

Step 2 - Align with Complementary Frameworks: Combine CMMI with ITIL 4 for service management (focusing on value co-creation through automation) and TOGAF for enterprise architecture (mapping how AI and automation support business goals). This ensures IT automation reduces manual errors, while AI provides insights for continuous improvement.

Step 3 - Form a Cross-Functional Team: Create an Integration Task Force including representatives from Administrative Services, IT (via Apex), Finance, Public Works, and Community Development. Apply the RASCI model (Responsible, Accountable, Support, Consulted, Informed) to assign roles—e.g., Apex as Responsible for IT automation implementation, Department heads as Accountable for AI adoption.

Phase 2: Prioritize Pilot Projects for Phased Implementation

Step 1 - Start Small in High-Impact Areas: Begin with pilots in departments with low maturity (e.g., Public Works, rated at CMMI Level 1-2 for process ownership and measurement). For example:

- **IT Automation:** Automate asset tracking in ArcGIS (currently underutilized) to log maintenance like pothole repairs or water system checks, reducing manual spreadsheets.
- **AI Integration:** Use embedded AI in Microsoft 365 (e.g., Copilot for generating reports) or explore tools like conversational agents for customer service, benchmarking against peers where the City lags (bottom 10% in AI adoption per the study).
- **CMMI Tie-In:** Assess pilot processes using the study's CMMI-based checklist (six dimensions: Process Ownership, Documentation, Measurement, etc.), targeting a jump to Level 3 within 6–12 months.

Step 2 - Scale City-Wide: After pilots, expand to Finance (e.g., AI for fraud detection in Springbrook) and Community Development (e.g., automating permit tracking in eTRAKiT with AI predictions for approval timelines). Leverage cloud

migration (e.g., to Azure) to enable scalable automation and AI, replacing non-cloud systems like RIMS with alternatives (e.g., NicheRMS or eFORCE RMS) that support AI analytics.

Step 3 - Address Risks and Training: Conduct cybersecurity training (noting low completion rates in the study) and use AI ethically (e.g., for augmentation, not replacement). Budget for this: Initial costs ~\$20,000–50,000 for tools/training, offset by 10–30% efficiency gains (e.g., reduced labor hours, per APWA studies referenced in the analysis).

Phase 3: Measure and Iterate for Continuous Improvement

Step 1 - Set KPIs Aligned with CMMI: Track maturity progress with metrics like process repeatability (e.g., 80% automated tasks), AI ROI (e.g., 20% faster decision-making), and efficiency gains (e.g., reduced ticket resolution time). Use tools like GovInvest for dashboards.

Step 2 - Foster a Culture of Improvement: Incorporate Knowledge Management (per APQC framework) to capture lessons from automation/AI pilots. Address cultural issues (e.g., job insecurity in Library/Parks) by communicating how these efforts enhance roles.

Step 3 - Timeline: Short-term (0–6 months): Pilots and baseline assessments. Medium-term (6–18 months): Full integration and Level 3 certification (potential insurance reductions). Long-term: Optimize with AI for predictive governance.

Phase 4: How to Document These Items

Documentation is crucial for CMMI maturity (emphasized in the study’s framework, where Level 3 requires standardized processes and Level 5 embeds continuous improvement). The City lacks centralized systems, so focus on building reusable assets to “cut waste, speed decisions, and build lasting performance edge” (as per the draft).

Step 1 - Use Structured Templates and Tools:

- **Process Maps and SOPs:** Document each integrated process with flowcharts (using Archi/ArchiMate from TOGAF) and Standard Operating Procedures (SOPs). For example, create an SOP for “AI-Enhanced Permit Processing” detailing steps, automation scripts, and AI inputs/outputs.
- **RASCI Matrices:** For every initiative, map roles (e.g., who is Responsible for AI tool training).
- **Knowledge Repositories:** Build a central hub (e.g., in Microsoft 365 SharePoint) for capturing expertise—include pilot reports, AI benchmarks.

Step 2 - Documentation Process:

- **Capture at Each Stage:** During pilots, log decisions, challenges, and outcomes in real-time (e.g., via weekly RASCI reviews).
- **Version Control and Accessibility:** Use Laserfiche for archiving, ensuring documents are searchable and compliant (e.g., with ISO standards for long-term).
- **Audit and Update:** Schedule quarterly reviews to update docs based on CMMI assessments, incorporating feedback loops for automation/AI refinements.
- **Tools for Efficiency:** Leverage AI for auto-generating docs (e.g., Copilot summaries) and automate versioning in cloud tools.

This integrated approach positions St. Helena to move from reactive (Level 1-2) to proactive governance, potentially cutting costs by 10-20% while improving services. If needed, consult Apex for technical support or benchmark with peers via resources like CISA or APQC.

A small town can apply TOGAF (enterprise architecture for strategic design), ITIL 4 (IT service management for operations), and CMMI V3.0 (process maturity for improvement) to common municipal processes. Below is a table with 15 practical examples:

Small Town Process	TOGAF Alignment (Strategic Architecture)	ITIL 4 Alignment (Service Operations & Delivery)	CMMI V3.0 Alignment (Process Maturity & Improvement)
Online Building/Development Permitting	Designs integrated permitting architecture, aligning apps, data, and portals with town goals (ADM Phases B/C).	Manages request fulfillment, incident/change for submissions via self-service portal.	Builds repeatable, measured review processes (Levels 2-3), reducing defects.
Utility Billing & Service Requests	Blueprints interoperable utility systems, integrating legacy billing with cloud tools.	Handles service desk for outages/requests, problem management, feedback loops.	Establishes defined billing accuracy and delivery processes, tracking metrics.
Public Works Road Maintenance & Asset Management	Defines target architecture for GIS-based asset tracking and smart infrastructure.	Applies asset management, change enablement for scheduling and notifications.	Improves maturity in service/project delivery, optimizing resource use.
311 Citizen Service Requests (non-emergency)	Aligns multi-department architecture for unified citizen engagement platform.	Operates service value chain for intake, routing, resolution, knowledge mgmt.	Advances from ad-hoc to optimizing, measuring satisfaction/efficiency.
Online Payment of Taxes & Fees	Architects secure payment gateway integration across finance systems.	Manages financial service requests, incident resolution for payment issues.	Standardizes payment processing for consistency and error reduction.
Parks & Recreation Program Registration	Designs citizen portal architecture linking registration to scheduling/data.	Delivers service catalog, request fulfillment, and continual improvement.	Develops managed registration workflows with performance metrics.
Code Enforcement & Violations Reporting	Builds architecture for mobile-enabled reporting and case management systems.	Supports incident/problem management for violation tracking and follow-up.	Establishes repeatable inspection/enforcement processes for quality gains.
Emergency Management & Alert Systems	Defines resilient architecture for alert distribution and inter-agency data sharing.	Handles major incident management and communication services.	Improves crisis response maturity through defined, measured procedures.
Employee HR Onboarding & Payroll	Aligns HR systems architecture with town-wide identity and access management.	Manages HR service desk, request fulfillment for onboarding/payroll queries.	Builds defined HR processes, reducing variability and improving compliance.
Public Records Requests & FOIA Processing	Architects document management and secure access portal for transparency.	Operates service requests, knowledge management for records fulfillment.	Standardizes request handling for timeliness and auditability (Levels 2-3).
Zoning & Land Use Applications	Designs zoning data models and workflow architecture for planning integration.	Manages application fulfillment, change enablement for approvals.	Creates repeatable zoning review processes with metrics for optimization.
Library Services & Digital Catalog Access	Blueprints integrated library system with citizen authentication.	Delivers service desk for loans/reservations, continual service improvement.	Advances library operations maturity for efficient resource allocation.
Water Quality Monitoring & Reporting	Defines IoT/sensor architecture for real-time data collection and reporting.	Manages monitoring services, incident response for quality alerts.	Establishes measured, data-driven processes for compliance and improvement.
Voter Registration & Election Support	Architects secure, compliant systems for registration and voter data mgmt.	Handles service requests, problem management during election periods.	Builds managed, auditable processes to ensure accuracy and reliability.

Cybersecurity Incident Response	Designs overarching security architecture and governance framework.	Applies information security management, major incident practices.	Improves security maturity (Levels 3+), with proactive risk measurement.
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These frameworks work together: TOGAF provides the long-term blueprint, ITIL 4 ensures smooth daily execution, and CMMI drives progressive maturity—all scalable for small IT teams to enhance efficiency, cut costs, and deliver better public services.

8.0 IT Governance

Effective IT governance is essential for a small municipality like St. Helena, where limited resources, outsourced IT support, and evolving threats (such as the 2024 ransomware attack) demand structured oversight. Governance ensures that IT investments align with the City’s strategic objectives—enhancing operational efficiency, resident services, and fiscal responsibility—while mitigating risks and promoting accountability. This section outlines a tailored governance model that integrates the recommended frameworks (TOGAF, ITIL 4, CMMI V3.0, ISO standards), Knowledge Management, and the RASCI model, enabling the City to manage its IT ecosystem proactively rather than reactively.

At its core, IT governance involves defining policies, processes, and structures to guide decision-making. For St. Helena, this means establishing clear authority over IT initiatives, from cloud migration and AI adoption to cybersecurity enhancements. The governance framework should be lightweight to avoid overburdening the small administrative team, yet robust enough to support scalability as the City grows its digital capabilities (e.g., expanding eTRAKiT or integrating OpenGov with Springbrook).

Governance Structure: Form an IT Governance Committee as the central body for oversight. Comprising 5–7 members—including the City Manager (as chair), representatives from key departments (Administrative Services, Finance, Public Works, Community Development, Police), an Apex liaison, and a City Council member—this committee would meet quarterly or as needed. Its role includes reviewing IT proposals, prioritizing projects based on ROI and resident impact, and approving major changes (e.g., RIMS replacement). This cross-functional setup reduces silos, fosters collaboration, and addresses the information asymmetry noted in the outsourced IT model. For external input, invite occasional guests like regional IT experts or Municipal Information Systems Association of California (MISAC) representatives to benchmark against peers.

Roles and Responsibilities: Utilize the RASCI model to delineate duties clearly. For instance, in a cloud migration project:

- **Responsible:** Apex handles technical execution (e.g., Azure setup).
- **Accountable:** The City Manager ensures overall success and budget adherence.
- **Support:** Department heads provide input on user needs.
- **Consulted:** External vendors (e.g., RIMS alternatives) offer expertise.
- **Informed:** City Council receives progress updates.

This matrix should be documented for each major initiative and reviewed annually, preventing overlaps and ensuring accountability. It complements Knowledge Management by capturing lessons learned in a centralized repository (e.g., Microsoft 365 SharePoint), promoting institutional knowledge retention amid staff turnover risks.

Integration with Recommended Frameworks: Governance ties directly into TOGAF, ITIL 4, and CMMI V3.0 for a cohesive approach. TOGAF’s Architecture Governance (within the ADM) ensures architectural decisions support city goals, such as interoperable systems for better data sharing across departments. For example, the committee would approve architecture blueprints during Phase E (Opportunities & Solutions), aligning with strategic priorities like full cloud adoption. ITIL 4’s Service Value System (SVS) embeds governance in operational practices, emphasizing value co-creation. The committee could oversee the application of guiding principles like “focus on value” during service desk operations (e.g., handling 311 requests) and continual improvement reviews. This operationalizes governance, ensuring services remain citizen-centric and agile.

CMMI V3.0 provides the maturity backbone, with governance focused on progressing from Level 1-2 (ad-hoc) to Level 3 (defined processes). The committee would conduct periodic appraisals using CMMI's domains (e.g., Services, Security), tracking metrics like service downtime reduction or training completion rates. Achieving Level 3 could yield tangible benefits, such as lower cyber insurance premiums, as insurers often reward certified maturity.

Incorporate ISO standards (e.g., ISO 27001 for information security) for long-term compliance, with the committee auditing adherence during reviews. This hybrid model—starting small with pilots in high-impact areas like Finance—avoids complexity while building resilience.

Monitoring, Reporting, and Risk Management: Establish key performance indicators (KPIs) for transparency, such as system uptime (>99%), ticket resolution time (<24 hours), and cybersecurity training compliance (>90%). The committee should require monthly reports from Apex, including threat dashboards and ROI analyses (e.g., cost savings from eliminating the \$2,700/month data center rental). Annual third-party audits (e.g., penetration testing) and tabletop exercises for ransomware scenarios would strengthen risk management, aligning with California trends where small municipalities face heightened cyber threats.

Implementation and Challenges: Roll out governance in phases: Short-term (0–3 months)—form the committee and develop RASCI templates; Medium-term (3–12 months)—integrate with framework pilots; Long-term—achieve CMMI Level 3. Budget modestly (~\$5,000–10,000 annually for tools/training). Address challenges like staff resistance by communicating benefits (e.g., reduced workload via automation) and involving employees in governance design.

Ultimately, this governance framework empowers the City to leverage IT as a strategic asset, ensuring sustainable modernization that enhances efficiency, resident satisfaction, and security. By embedding accountability and continuous improvement, the City can navigate its constraints while positioning itself as a model for small California municipalities.

9.0 Conclusion

The City of St. Helena stands at a pivotal moment in its digital evolution. With a population over 5,000 residents and the typical constraints of a small California municipality—limited staff, outsourced IT through Apex, and lessons learned from the 2024 ransomware attack—this report charts a clear, achievable path to modern, resilient, and citizen-focused IT operations.

By adopting a tailored hybrid framework combining **TOGAF** for strategic architecture, **ITIL 4** for value-driven service management, **CMMI V3.0** for progressive process maturity, and supporting elements like **RASCI** for accountability and **Knowledge Management** for institutional memory, the City can transform its IT from reactive and fragmented to proactive, integrated, and efficient. This approach directly tackles current challenges: legacy on-premise systems (e.g., RIMS), integration gaps across SaaS tools, underutilized assets like ArcGIS, and low cybersecurity training compliance.

Prioritizing **cloud migration** to a 100% cloud-based environment (e.g., Azure) will eliminate the \$2,700 monthly data center rental, enhance security with automatic updates and AI-driven threat detection, and enable scalable automation. Replacing RIMS with CJIS-compliant cloud-native alternatives (such as NicheRMS or eFORCE RMS) removes a critical vulnerability while unlocking data interoperability. Leveraging embedded AI in existing platforms—Microsoft Copilot for productivity, OpenGov for analytics, and Springbrook for finance—along with cautious pilots (e.g., chatbots for resident inquiries or predictive maintenance in Public Works) will automate routine tasks, reduce manual effort, and improve response times without risky standalone vendor commitments.

The phased **implementation roadmap**—short-term actions like enforcing training and initiating RIMS RFPs, medium-term full migration and framework pilots, and long-term CMMI Level 3 pursuit—minimizes disruption while delivering measurable gains: 20–30% potential IT overhead reduction, 10–20% labor efficiencies, faster citizen services (e.g., permitting via eTRAKiT), and potential insurance premium savings from demonstrated maturity.

Governance through the proposed **IT Governance Committee** ensures alignment with City priorities, cross-departmental collaboration, and ongoing oversight via KPIs, monthly Apex reports, and annual audits. This structure empowers the City to navigate resource limitations, mitigate cyber risks in California's high-threat environment, and foster a culture of continuous improvement.

These recommendations position St. Helena not just to recover from past incidents but to lead as a forward-thinking small municipality. By starting small, building incrementally, and focusing on resident value, the City can achieve sustainable cost savings, elevated service delivery, and greater public trust, turning technology into a true strategic asset for the community's future.

Appendix A - Glossary

AI (Artificial Intelligence): Computer systems designed to perform tasks that normally require human intelligence, such as pattern recognition, decision-making, and automation of repetitive work.

Automation: The use of technology to perform tasks with minimal human intervention, often to increase efficiency and reduce manual workload.

Business Process: A series of structured activities or steps designed to accomplish a specific organizational goal or service outcome.

Change Management: A structured approach for transitioning individuals, teams, and organizations from a current state to a desired future state when implementing new technologies or processes.

Cloud Computing: Delivery of computing services—including servers, storage, databases, networking, software, and analytics—over the internet rather than on local hardware.

CMMI (Capability Maturity Model Integration): A process improvement framework that helps organizations improve performance by defining maturity levels for operational and development processes.

CJIS (Criminal Justice Information Services): A division of the FBI that provides law enforcement agencies with information systems and standards related to criminal justice data security and sharing.

Cybersecurity: The practice of protecting computer systems, networks, and data from digital attacks, unauthorized access, or damage.

Data Integration: The process of combining data from different sources to provide a unified and consistent view of information.

Digital Modernization: The ongoing effort to update legacy technology systems, processes, and tools to improve efficiency, security, and service delivery.

ERP (Enterprise Resource Planning): A type of software used by organizations to manage core business functions such as finance, human resources, procurement, and operations in a centralized system.

Framework: A structured set of guidelines or best practices used to organize decision-making, planning, or system design.

Governance (IT Governance): The policies, procedures, and decision-making structures that ensure technology investments align with organizational goals and risk tolerance.

ITIL (Information Technology Infrastructure Library): A widely used set of best practices for managing IT services, focusing on service quality, efficiency, and continuous improvement.

Legacy System: An older technology system or software platform that is still in use but may be outdated or unsupported.

Modernization: The process of upgrading or replacing outdated systems, infrastructure, or processes to meet current needs and standards.

Process Maturity: A measure of how well-defined, managed, and optimized an organization's processes are over time.

SaaS (Software as a Service): A software delivery model in which applications are hosted by a vendor and accessed over the internet rather than installed locally.

Scalability: The ability of a system or process to handle increased workload or growth without significant performance loss.

TOGAF (The Open Group Architecture Framework): A framework used to design, plan, implement, and govern enterprise information technology architecture.



Final Report and Recommendations

APRIL 22, 2026

Efficiency and Business Transformation Study



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Foreword

Over the past nine months, Blackberg conducted a thorough, multi-faceted examination of city government operations. Our goal was to develop a clear “current state” assessment and a practical set of recommendations to enhance the efficiency, effectiveness, and long-term sustainability of St. Helena’s municipal services.

Some of our findings may feel unsettling or concerning. We want to be clear: Blackberg is committed to delivering independent, truthful, and evidence-based insights — wherever they lead. Our work is much like a visit to the doctor. We perform a careful examination, focus on the areas that need attention, and offer targeted recommendations for improvement. In our Current State Analysis, we naturally highlight the issues and weaknesses we observed. At the same time, we recognize that St. Helena city government also has many strengths — dedicated staff, a strong sense of community, and valuable services that residents rely on every day.

This final deliverable presents our recommendations to improve the effectiveness and efficiency of city government. These recommendations represent transformative change for a city of St. Helena’s size. Transformative change is never easy, and the risk of failure can be high if not managed carefully. To reduce that risk and increase the chances of success, Blackberg developed a detailed **Transformation Roadmap**. It begins with essential pre-transformation preparation steps and then divides the work into three manageable phases. We also recommend targeted pre-transformation training to build the skills and culture needed for lasting improvement.

One of our highest-priority recommendations is the development of a new **City Strategic Plan**. We believe this is among the most exciting and critical steps St. Helena can take. For the first time, the City will have a clear “North Star” — a unified vision and set of priorities that align departments, guide decision-making, rebuild community trust, and ensure that every effort supports what matters most to residents.

We are confident that, with strong leadership, community engagement, and steady implementation of this roadmap, St. Helena can emerge stronger, more efficient, and better equipped to deliver high-quality services for generations to come.

Thank you for the opportunity to serve your community.

Blackberg Group

April 2026

1.0 Executive Summary

The City of St. Helena (City), a vibrant community of approximately 5,300 residents in the Napa Valley, faces a defining opportunity to modernize its municipal operations and secure long-term fiscal and service excellence. Commissioned by City leadership, Blackberg Group (Blackberg) conducted this comprehensive Efficiency and Business Transformation Study to diagnose operational realities, quantify improvement potential, and deliver a clear, actionable roadmap. This Final Report and Recommendations (Deliverable 4) integrates insights from prior phases and deliverables—including current state analysis (1), information and insight analysis (2), organizational structure and staffing (3A), process improvement potential (3B), financial efficiency review (3C), and technology utilization and modernization (3D)—into a unified three-phase transformation strategy. Blackberg highly recommends reading these previous deliverables prior to reading Deliverable 4. They provide substantial context and foundational information, data, and findings.

The study's purpose was straightforward: identify systemic barriers to effectiveness and efficiency, benchmark against peer municipalities and national standards, and recommend practical, phased changes that deliver measurable results. Blackberg employed a rigorous, multi-method approach: quantitative analysis of staffing levels, budgets, compensation data from Transparent California, the State Controller's "Government Compensation in California", and IT subscription inventories; facilitated workshops with every department; detailed process mapping and maturity assessments; financial modeling of salary variances and staffing scenarios; and technology audits of current Software as a Service (SaaS) platforms, on-premise systems, and integration gaps. National benchmarks for libraries, asset management, and process maturity provided objective context. The resulting recommendations are designed to be realistic for a small California municipality while ambitious enough to create lasting change.

Current operations reflect classic challenges of many small cities: fragmented systems, reactive management, and under-leveraged technology. Business process maturity currently sits at Capability Maturity Model Integration (CMMI) Levels 1–2—characterized by ad-hoc workflows, minimal standardization, and limited continuous improvement capability. Departments operate with inconsistent documentation, informal handoffs, and heavy reliance on individual knowledge rather than institutionalized processes. Governance is diffuse, lacking a centralized policy repository, integrated performance metrics, or clear accountability structures such as Responsible, Accountable, Supports, Consulted, Informed (RASCI) matrices. Talent management is underdeveloped; while recruiting and basic training occur, there is no formal framework linking workforce planning to strategy, performance reviews, or succession. Compensation analysis reveals that several executive and mid-management positions exceed market averages for communities of similar size and scope, creating a \$590,000 annual savings opportunity through strategic hiring and natural attrition rather than salary reductions for current staff.

Asset and risk management gaps are particularly pronounced. Public Works, the department with the highest operational volume and capital intensity, lacks a centralized preventive maintenance program and enterprise-wide asset management system. This results in reactive repairs, suboptimal resource allocation, and missed opportunities for predictive analytics. Administrative Services handles core financial functions but contends with manual data transfers between platforms and limited automation. Community Development has advanced with the recent launch of eTRAKiT permitting software, yet broader customer relationship management and service standardization remain inconsistent. Overall, limited performance measurement and dashboards mean leaders lack real-time visibility into key outcomes, hindering proactive decision-making. These structural and process limitations constrain capacity and inflate costs. Staffing reviews identified opportunities for reallocation and efficiency gains totaling approximately \$625,000 annually once foundational improvements in process maturity and automation are in place. Strategic partnerships—particularly for specialized services such as water and wastewater operations—offer additional leverage without compromising service quality. When combined with market-aligned compensation adjustments and technology modernization, the City can realistically achieve \$1.3–1.6 million in annual cost savings, reallocation, and avoidance. These figures are derived from detailed sensitivity analysis, and do not include secondary benefits such as reduced overtime, lower liability exposure through better documentation, or grant eligibility from demonstrated process improvements.

The transformation roadmap is deliberately phased to build momentum while managing risk and resource demands. Preparation and foundational actions (pre-Phase 1) focus on immediate governance and readiness steps. Launching a City Strategic Plan will provide the North Star missing from current operations, aligning all departments around clear priorities. Strategic hiring of a full-time Human Resources (HR) Manager and part-time IT Manager will professionalize talent and technology oversight. A RASCI matrix rollout and Fraud, Waste & Abuse (FWA) mitigation engagement will clarify roles and strengthen internal controls. Enhanced City Council oversight tools—including an executive dashboard—will improve transparency and policy adherence. A Customer-Centered Design Framework and initial Business Process Reengineering (targeting Maturity Level 2) will equip staff with modern tools before deeper changes begin. Records digitization, knowledge management systems, and a talent management platform will capture institutional knowledge and support recruitment.

Phase 1 (0–12 months) establishes the operational foundation. Core recommendations include full implementation of the strategic plan and governance framework, comprehensive training programs, and migration of remaining on-premise systems (notably RIMS) to secure cloud environments. Adoption of The Open Group Architecture Framework (TOGAF) for enterprise architecture, Information Technology Infrastructure Library (ITIL) 4 for service management, and CMMI practices will standardize technology and process disciplines. Dashboard development will give leaders and City Council real-time visibility into key performance indicators. New positions and policies for talent management will professionalize HR functions. These steps are sequenced to deliver early wins: clearer accountability, reduced manual effort, and foundational data infrastructure that enables everything that follows.

Phase 2 (12–24 months) drives operational transformation and efficiency gains. Continued Business Process Reengineering advances targeted departments to Maturity Level 3, with particular focus on accounting integration and automation. A dedicated City Accountant role will strengthen financial controls and reporting. Public Works receives special attention through a long-term strategy, preventative maintenance program, predictive analytics, and exploration of targeted outsourcing or partnerships for high-complexity services such as water and wastewater. IT and AI solutions will automate repetitive tasks, integrate disparate SaaS platforms into a cohesive ecosystem, and pilot ethical AI applications (for example, permit processing and work-order optimization). Risk and asset management systems, a Customer Relationship Management platform, and a Quality Management System will institutionalize reliability. Staffing efficiency gains realized here—through optimized workflows and seasonal adjustments—directly contribute to the \$625,000 target. A Strategic Communications Plan tied to change management will ensure staff and residents understand and support the transition.

Phase 3 (24+ months) cements optimization and organizational maturity. Full integration of management systems under a TOGAF “system of systems” architecture creates enterprise-wide coherence. Comprehensive Key Performance Indicators (KPIs) and an expanded executive dashboard enable data-driven governance. Business Process Reengineering reaches sustained Level 3 performance, with pursuit of formal CMMI Level 3 certification in key areas and consideration of Levels 4–5 for high-impact functions. Continuous quality improvement becomes cultural rather than episodic. By this stage, the City operates with proactive, integrated systems that anticipate needs rather than react to them.

Anticipated benefits extend far beyond financial savings. Residents will experience faster, more consistent service delivery through standardized processes and digital self-service options. Staff will benefit from clearer roles, professional development pathways, and reduced administrative burden—improving morale and retention. City Council and leadership will gain unprecedented visibility and accountability tools. Technology modernization will enhance data security, scalability, and interoperability while lowering long-term maintenance costs. Partnerships and outsourcing options will allow the City to focus internal resources on core community priorities. Collectively, these changes position St. Helena as a model for small-city excellence in California—fiscally resilient, service-oriented, and forward-looking.

Successful implementation requires commitment, leadership alignment, and sustained focus. Blackberg recommends establishing a Transformation Oversight Committee reporting directly to the City Manager, with quarterly progress reviews to City Council. Initial investments in new positions, training, and technology (estimated \$80,000–\$120,000 annually) are more than offset by the identified savings within the first two years. Change management principles—particularly clear communication, training, and reinforcement—will be essential to sustain momentum.

The City of St. Helena has already demonstrated resilience and vision by undertaking this study. By embracing the recommendations outlined in this report, leadership can convert current challenges into a platform for enduring strength. The result will be a more efficient, effective, and citizen-centered government capable of meeting today's demands while building capacity for tomorrow's opportunities. The time to act is now; the roadmap is ready; the potential is substantial.

2.0 Introduction

The City of St. Helena (City), a Napa Valley community of approximately 5,300 residents, stands at a pivotal moment in its evolution as a municipal government. Commissioned by city leadership, Blackberg Group (Blackberg) undertook this comprehensive Efficiency and Business Transformation Study to address longstanding operational challenges and position the City for sustainable success in the 21st century.

This Final Report and Recommendations (Deliverable 4) synthesizes findings from extensive assessments—including current state analysis (1), information and insight analysis (2), organizational structure and staffing analysis (3A), process improvement potential (3B), financial efficiency review (3C), and technology utilization and modernization (3D). Blackberg highly recommends reading these previous deliverables prior to reading Deliverable 4. They provide substantial context and foundational information, data, and findings.

The study reveals a municipality operating with predominantly reactive processes at CMMI maturity Levels 1-2, fragmented governance, above-market compensation in multiple executive positions, and few management systems. While the City has made strides with tools like eTRAKiT and managed IT services through Apex, significant opportunities remain in standardization, automation, strategic planning, management systems, and other aspects of organizational fitness (See **Figure 1**).

Through rigorous data analysis, stakeholder workshops, benchmarking against peer municipalities, and national standards, Blackberg has identified pathways to potentially achieve **\$1.3–1.6 million** in annual cost savings, reallocations, and/or avoidance. These gains stem from strategic salary alignment, staffing optimizations, adopting Business Process Management (BPM) and Business Process Reengineering (BPR) frameworks, full cloud migration (including RIMS replacement), and targeted partnerships—while simultaneously enhancing service quality and resident experience.

Structured across three implementation phases plus preparatory actions, the recommendations integrate proven frameworks such as TOGAF for enterprise architecture, ITIL 4 for service management, CMMI for process maturity, and customer-centered design principles. Central to success will be new talent management practices, enhanced City Council oversight tools, knowledge management systems, and AI-enabled automation.

By committing to this phased transformation, St. Helena can evolve into a model of efficient, transparent, and responsive local government—delivering exceptional value to residents while strengthening fiscal resilience for generations to come.

2.1. Project Background

The City faces the classic challenges of a small, full-service local government. The City provides essential services—including public safety, community development, public works, library operations, recreation, and utilities—while managing a limited tax base, rising operational costs, and the expectations of a high-quality-of-life community.

The genesis of the Efficiency and Business Transformation Study traces to a series of converging pressures in 2024 and 2025 that highlighted the need for comprehensive organizational review and modernization to improve the overall efficiency and effectiveness of the City's government.

A pivotal catalyst was the ransomware cyberattack on May 13, 2024, which disrupted City computer systems, forced the temporary shutdown of affected services (including the public library), and compromised data on at least 20 computers and a network server. The incident affected nearly 1,000 individuals whose personal information was exposed, prompting

notifications and credit monitoring offers. While the City, working with its IT contractor, law enforcement, and forensic experts, successfully recovered operations and strengthened network security, the event exposed vulnerabilities in legacy on-premise infrastructure and underscored the risks of outdated systems in an era of escalating cyber threats to California municipalities.

Compounding these technical challenges were persistent **fiscal pressures**. By 2025, the City confronted a structural budget deficit driven by expenditures outpacing revenues, increasing costs in areas such as healthcare, pensions, staff compensation, and infrastructure maintenance, and limited new revenue sources. The FY 2024–2025 audited financials revealed a projected deficit of approximately \$4.7 million (including carry-over expenditures), necessitating significant reserve drawdowns. To address this, the City implemented nearly \$2 million in spending reductions for the FY 2025–2026 and 2026–2027 biennial budgets, including personnel and non-personnel cuts totaling about 8.3% in some areas. These austerity measures, while necessary to maintain core services and avoid unsustainable reserve depletion, heightened the urgency for long-term efficiency and effectiveness gains.

Recognizing that reactive measures alone would not suffice, the City Council and leadership sought a proactive, holistic approach to transformation. In early 2025, the City issued a Request for Proposals for an Efficiency and Business Transformation Study, ultimately engaging Blackberg Group (Blackberg) to conduct a thorough assessment. The Blackberg study encompasses a current state analysis (Deliverable 1), an information and insight analysis (Deliverable 2), organizational structure and staffing analysis (Deliverable 3A), process improvement and efficiency potential study (3B), cost savings opportunities (3C), and technology utilization and modernization approach (3D).

At its core, the study addresses the fundamental question facing many small municipalities: how to deliver high-quality, resident-focused services sustainably amid limited resources, aging infrastructure, cybersecurity risks, and evolving demands. For St. Helena—a community of roughly 5,300 residents with a rich heritage and high service expectations—this transformation is essential to ensure fiscal resilience, operational effectiveness, and continued excellence in governance.

2.2. Objectives and Scope

The Efficiency and Business Transformation Study was commissioned by the City to provide a comprehensive, independent assessment of its organizational structure, operational processes, financial practices, and technology environment. The primary purpose of the study is to identify actionable opportunities to enhance long-term fiscal sustainability, improve service delivery efficiency, strengthen internal controls and risk management, and elevate the overall customer experience—all while preserving the high quality of life that defines the community.

The project’s objectives and scope are fully aligned with the goals outlined in the City’s Request for Proposals (RFP) and the resulting contract with Blackberg Group. These objectives can be summarized as follows:

Primary Objectives

1. **Assess Current Organizational Structure and Staffing** Evaluate the City’s current organizational design, staffing levels, compensation structure, span of control, role clarity, and workforce capacity against best practices for municipalities of similar size and service profile. Identify structural inefficiencies, compensation variances relative to market benchmarks, and opportunities to optimize staffing models for current and future service demands.
2. **Analyze Operational Processes and Efficiency Potential** Conduct a detailed review of key business processes across departments to determine maturity levels, bottlenecks, duplication, manual workarounds, and opportunities for standardization, automation, and continuous improvement. Apply recognized frameworks (e.g., CMMI, BPM, Lean principles) to quantify efficiency gains and service-level improvements.
3. **Identify Cost Savings and Financial Improvement Opportunities** Examine expenditure patterns, revenue sources, budget practices, internal controls, and financial reporting integrity to uncover realistic, sustainable cost-reduction and avoidance strategies. This includes compensation realignment, staffing optimization, procurement efficiencies, shared services/partnership opportunities, and potential revenue enhancements without compromising core service quality.

4. **Evaluate Technology Utilization and Modernization Needs** Inventory current IT systems, subscriptions, infrastructure, cybersecurity posture, and digital capabilities. Assess alignment with business needs, level of integration, cloud readiness, AI readiness, and overall effectiveness in supporting efficient operations and resident-facing services. Provide prioritized recommendations for modernization, including cloud migration, system integration, automation, and strategic adoption of artificial intelligence.
5. **Deliver Integrated, Prioritized Recommendations** Synthesize findings from the above assessments into a cohesive set of short-, medium-, and long-term recommendations that maximize impact while minimizing disruption. Recommendations are designed to improve:
 - **Efficiency** - reducing time, effort, and cost required to deliver services,
 - **Effectiveness** - delivering higher-quality outcomes and better internal coordination,
 - **Resident Experience** - making services faster, more accessible, more transparent, and more responsive.

Scope

The study encompasses the following City departments and functions, including:

- Administrative Services (including IT and finance)
- Community Development / Planning
- Public Works (including utilities)
- Community Services (Library & Parks & Recreation)
- City Clerk

Key activities completed under the scope include:

- Interviews and workshops with more than 36 City staff members and leadership
- Review of organizational charts, job descriptions, budgets, financial statements, IT inventories, process documentation, and audit findings
- Benchmarking against peer municipalities (using Transparent California, CalOpps, and industry standards)
- Assessments of the City's current state through: Current State Assessment, Information and Insight Analysis, Organizational Structure & Staffing Component, Process Improvement & Efficiency Potential, Cost Savings Potential, and Technology Utilization & Modernization

The study focuses on **structural, process, financial, and technological levers** rather than policy-level decisions (e.g., service level reductions or tax policy changes), which remain the prerogative of the City Council.

By addressing these four core pillars—structure, processes, costs, and technology—in an integrated manner, the study aims to equip City leadership with a clear, evidence-based roadmap to achieve greater resilience, fiscal health, operational excellence, and resident satisfaction in the years ahead.

2.3. Methodology Summary

Blackberg used the City Fitness Framework (CFF) (See **Figure 1**) to provide structure and context for the study. The primary focus of the overall study is the “Structure” element within the CFF; however, it is important to understand how other elements interact and affect the Structure (i.e. Talent, Alignment, Elements of Performance, etc.). Specifically, one can study each element within the CFF in relative isolation, but the reality of any organization is that each element is interacting with all other elements as a complex adaptive system. These interactions might be primary, secondary, or tertiary, but there is an interaction. In this sense, the elements are mutually enhancing (sometimes for the better and sometimes for the worst). Therefore, it is important to understand the interactions in different parts of the organization.

In developing the Current State Analysis, Blackberg focused on the Structure element within the CFF, but we also assessed the City organization broadly with some focus on Talent, Culture, and Ongoing Operations (See **Figure 1 red boxes**). Our methodology covered 4 steps: Document Review, Survey, Structured Interviews, and Analysis.

City Fitness Framework

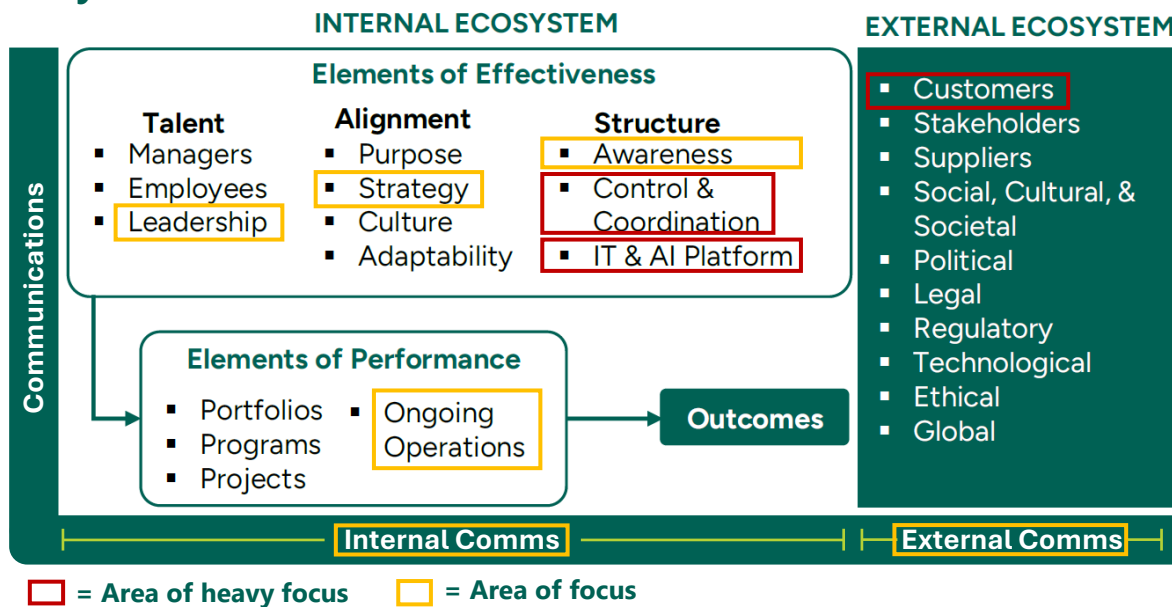


Figure 1 – City Fitness Framework: In conducting efficiency and business transformation studies, Blackberg examines all elements that impact a city’s effectiveness, efficiency, and performance.

3.0 Recommendations

The City Fitness Framework is a simplified view of the complex adaptive system that represents any organization. A key challenge with organizations is to understand how the different elements can be self-reinforcing and mutually enhancing—both beneficially and detrimentally. Blackberg used the City Fitness Framework to identify the different components of the City’s organization and to recommend improvements. Many of our recommendations fall under the Control and Coordination element; however, we also provide recommendations for improvements in many other areas. Two essential questions, in preparation for transformation, are where should the City begin and how should it sequence its efforts to improve effectiveness and efficiency.

To answer those two questions, Blackberg developed the Transformation Roadmap that you will find on the next six pages. The City should begin preparations with the recommended Pre-Transformation activities. Once ready for transformation, the first and most important step is for the City to develop a City Strategic Plan. In parallel to the City Strategic Plan development, the City could also launch the Fraud, Waste, and Abuse (FWA) mitigation engagement.

A City Strategic Plan serves as the essential North Star for St. Helena, replacing fragmented efforts with unified direction. It aligns departments, Council, staff, and residents around clear priorities, links budget decisions to community outcomes, and enables measurable progress. Benefits include improved resource allocation, enhanced transparency, stronger public trust, and a foundation for all transformation initiatives—driving effectiveness and efficiency gains while delivering **consistent, resident-centered services**.

Transformation Roadmap. The Transformation Roadmap is the City of St. Helena’s comprehensive, phased blueprint for translating the findings of the Efficiency and Business Transformation Study into measurable, sustainable improvements in effectiveness, efficiency, resident service delivery, and long-term fiscal resilience. Developed by Blackberg as the culminating deliverable of the study, the Roadmap integrates insights from all prior phases—Current State Analysis, Information and Insight Analysis, Organizational Structure and Staffing, Process Improvement and Efficiency Potential, Financial Efficiency Review, and Technology Utilization and Modernization—into a single, actionable sequence.

The Roadmap is intentionally designed as a **living document**. As new information, stakeholder feedback, or changing realities emerge, the City should refine it annually in conjunction with updates to the City Strategic Plan. Each phase is sequenced to build momentum while managing risk and resource demands, with Phase 1 being the longest. The Roadmap is anchored in proven frameworks (TOGAF, ITIL 4, CMMI, customer-centered design, and continuous quality improvement) and emphasizes high-priority initiatives, lever points (small shifts that produce outsized impact), and clear governance through the Program Management Office (PMO).

Successful transformation begins with deliberate preparation. The following sections explain each component of the Roadmap, beginning with the foundational Pre-Transformation Activities.

Figure 2 illustrates the critical preparatory phase that we recommend precede full transformation. These 2–4 months of targeted activities establish the governance, talent, skills, and alignment required for success while minimizing disruption and risk. The diagram centers on the newly established **Program Management Office (PMO)** as the central coordination hub. The PMO is created by realigning existing roles (Management Analyst and Public Works Project Manager) at no net additional cost and serves as the “nerve center” for disciplined project execution, risk management, resource allocation, and cross-departmental coordination. Completing these pre-transformation activities creates the essential foundation of governance, capability, and alignment, dramatically increasing the likelihood that Phases 1–3 will deliver the projected annual cost savings, reallocations, and avoidance.

Phase 1 Recommendations to Improve Effectiveness and Efficiency (10–12 Months) – Figure 3

Figure 3 details Phase 1, the foundational phase of active transformation. It begins with the highest-priority item—the **City Strategic Plan (A.1)**—and includes two strategic hires and multiple high-priority initiatives that establish core systems, policies, and processes. Lever Points (small shifts with big impact) in Phase 1 include policy documentation in a centralized register, dashboard tracking of policy adherence, FWA mitigation to rebuild trust, customer-centered design familiarization before deeper reengineering, and establishing a culture of continuous quality improvement.

Key elements flow from the City Strategic Plan and converge through **Begin Business Process Reengineering (Maturity Level 2)** (A.10), which includes As-Is diagramming, analysis, To-Be design, and initial implementation. Supporting streams include:

- High-priority strategic hiring (HR Manager, IT Manager) and new positions.
- Enhanced City Council oversight tools (design, implementation, and Executive Dashboard).
- Governance & Policy Framework (design and implementation).
- Foundational systems: Talent Management System, Knowledge Management System, Records Digitization, Dashboard Development, Change Management System, and RIMS cloud migration.
- Cross-cutting enablers: Customer-Centered Design Framework, RASCI Matrix launch, Training Program, and TOGAF/ITIL 4/CMMI adoption.

Lever Points (small shifts with big impact) in Phase 1 include policy documentation in a centralized register, dashboard tracking of policy adherence, FWA mitigation to rebuild trust, customer-centered design familiarization before deeper reengineering, and establishing a culture of continuous quality improvement.

By the end of Phase 1, the City will have a unified strategic direction, professionalized talent and technology leadership, clearer roles and accountability, foundational management systems, and initial BPR results—creating early wins and the data infrastructure needed for subsequent phases.

Phase 2 Recommendations to Improve Effectiveness and Efficiency – Figure 4

Figure 4 shows Phase 2, which drives deeper operational transformation and realizes efficiency gains. Building on Phase 1 foundations, this phase advances Continue Business Process Reengineering (Maturity Level 2 & Targeted Level 3) with a strong emphasis on integration and automation.

Key focus areas include:

- **City Accountant** hire and **Accounting Focus for BPR** (high priority).
- **FWA Control Recommendations** and **IT & AI Solutions for Integration & Automation**.
- **Public Works Long-Term Strategy** (high priority)—the area of highest transformational potential—including preventative maintenance, predictive analytics, and evaluation of outsourcing options for water/wastewater services (Total Outsource, Water Outsource, or As-Is Improved).
- Continued development of management systems: Risk Management, Asset Management, Customer Relationship Management, and Quality Management Systems.
- **Strategic Communications Plan** (tied to the Change Management System).

Lever Points in Phase 2 highlight accounting integration/automation, careful coordination with the IT Manager for cost-effective IT/AI solutions, Public Works as the highest-potential area for change, and strategic communications as essential to successful change management.

Phase 2 delivers tangible staffing efficiency gains, optimized workflows, and measurable cost reductions while maintaining or improving service quality.

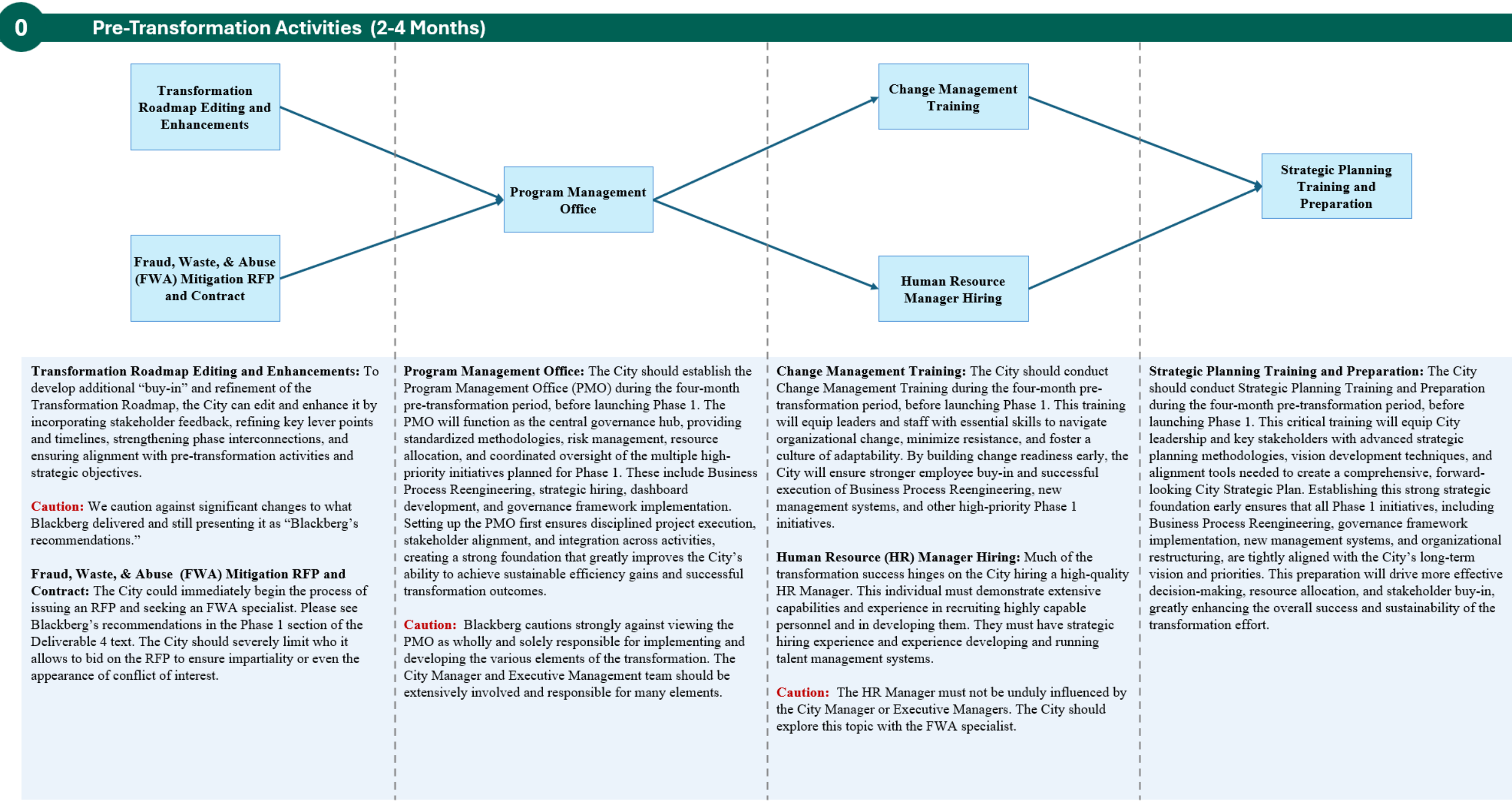
Phase 3 Recommendations to Improve Effectiveness and Efficiency – Figure 5

Figure 5 depicts Phase 3, which cements optimization and organizational maturity. The phase focuses on full integration of management systems under a System of Systems with TOGAF architecture and advances Continue Business Process Reengineering (Targeted Level 3).

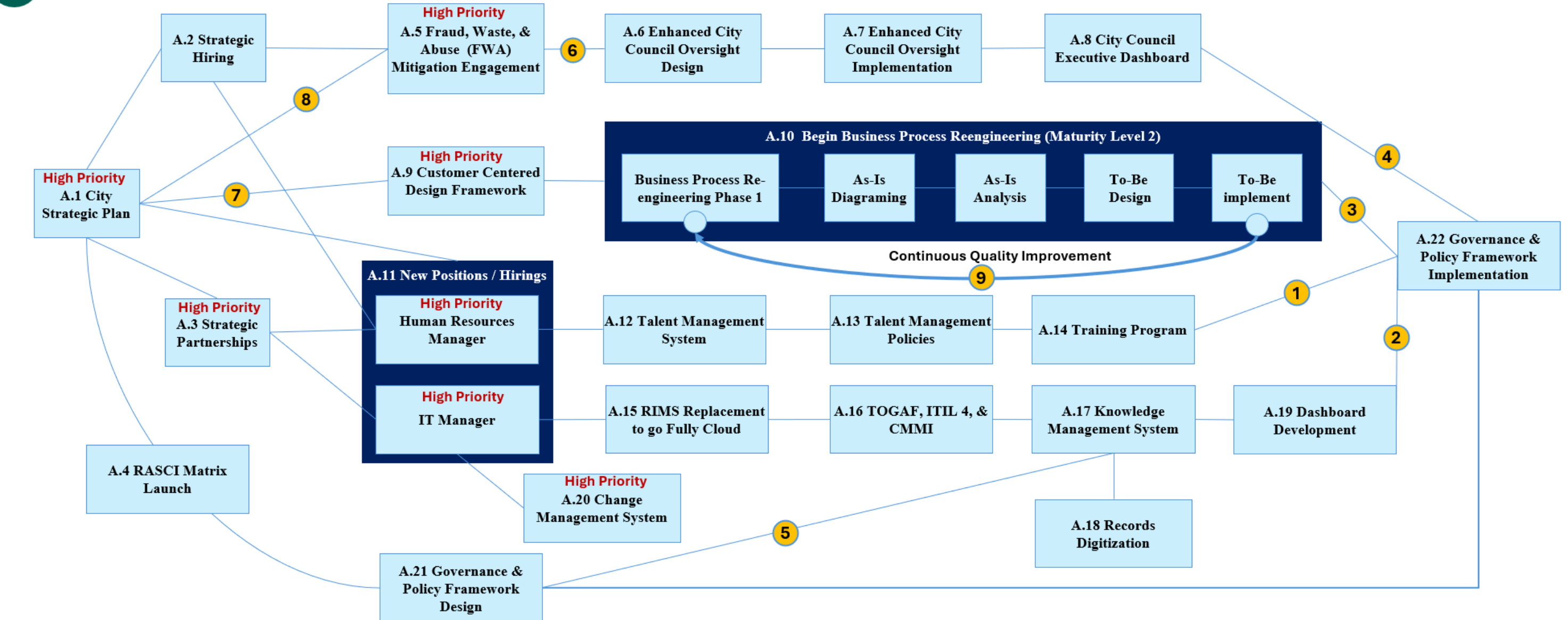
Core activities include:

- Alignment and integration of all management systems (Change Management, Customer Relationship Management, Quality Management, Asset Management, Talent Management, Knowledge Management, and ITIL 4).
- **Comprehensive KPIs for Systems** and **Comprehensive Executive Dashboard**.
- Pursuit of **Level 3 CMMI Certification** (with consideration of Levels 4–5 in select high-impact areas).

Lever Point: Strong alignment across systems—particularly shared data from a common database—combined with comprehensive, timely dashboards that provide evidence of process performance and tie directly to the RASCI framework. By the conclusion of Phase 3, the City will operate with proactive, integrated, data-driven systems, sustained Level 3 process maturity, and a culture of continuous quality improvement. This creates a resilient, citizen-centered government capable of anticipating needs rather than reacting to them.



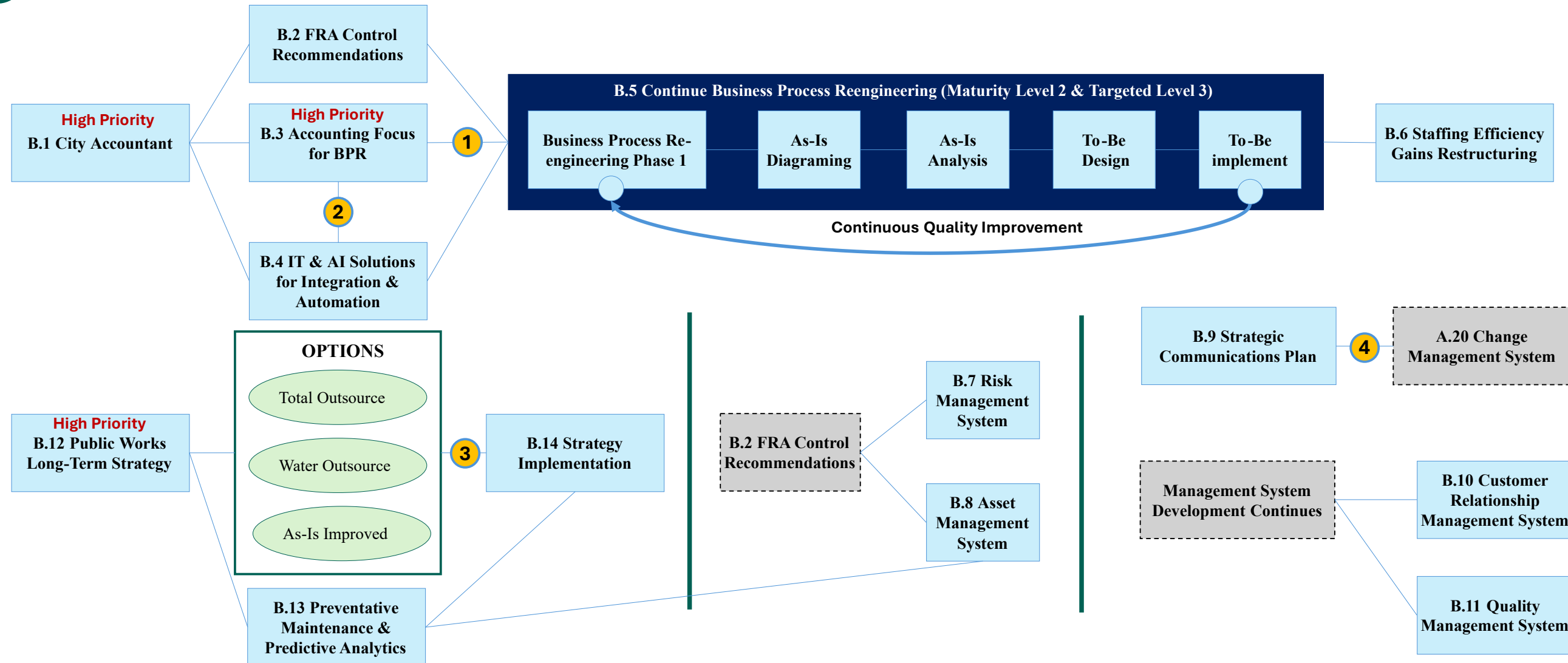
1 Transformation Roadmap – Phase 1 Recommendations to Improve Effectiveness and Efficiency (10-12 Months)



Lever Points Description	
Lever Points are places where a small shift in one area can produce big changes. Lever Points exist at each element but gain power through their interconnectedness—a change in one area often cascades to others. In phase 1, Blackberg identifies 8 Lever Points that can trigger significant improvements in effectiveness and efficiency.	1 It's important for policies to be present in individual management system documentation and captured in a centralized repository of all policies (Policy Register).
	2 Policy refreshes and policy implementation should be tracked through a dashboard to the maximum degree reasonable. The concept is that you want to make sure that people are adhering to the policies.
	3 There should be processes to create and update policies. Likewise, policies should codify process improvement & maturity.
	4 The City Council Executive Dashboard should enable monitoring of policy adherence across the organization.
	5 Knowledge Management System should address storage of policies.
	6 FWA mitigation is key to improved operations and establishing trust with St. Helena residents.
	7 Before beginning business process reengineering we recommend that the team become more familiar with customer centered design. This will provide them with a different lens to examine existing processes.
	8 Establishing trust with the community should be a theme of the strategic plan that includes FWA mitigation efforts.
	9 Creating a culture and process of continuous quality improvement is critical for long-term success.

Figure 3 – Transformation Roadmap, Phase 1: Phase 1 of the transformation includes many critical projects, beginning with the City Strategic Plan and including two strategic hires.

2 Transformation Roadmap – Phase 2 Recommendations to Improve Effectiveness and Efficiency



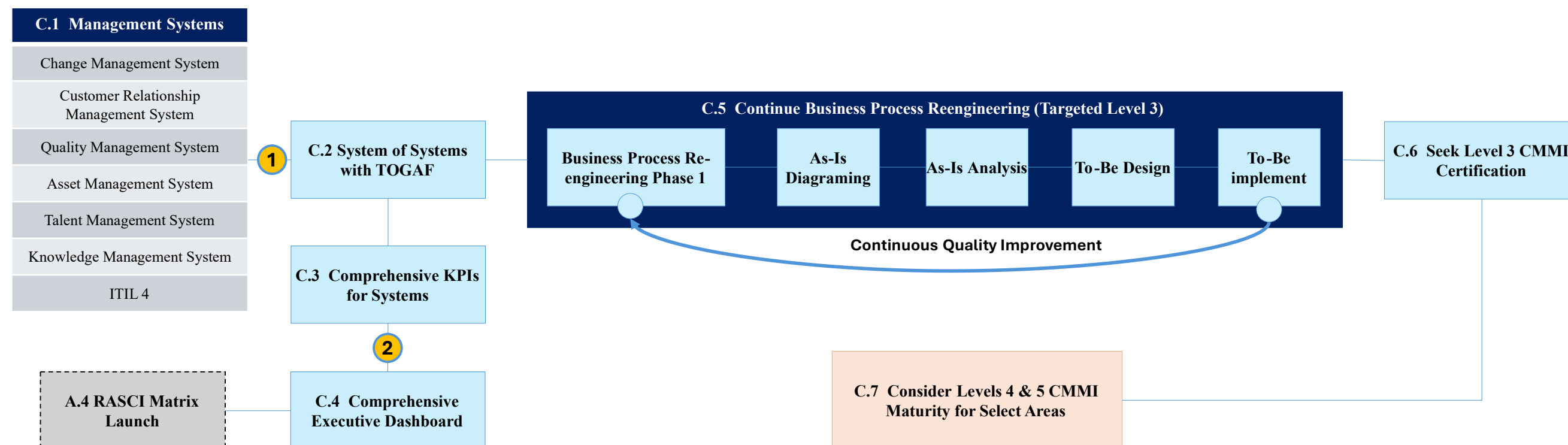
Lever Points Description

Lever Points are places where a small shift in one area can produce big changes. Lever Points exist at each element but gain power through their interconnectedness—a change in one area often cascades to others. In phase 2, Blackberg identifies 3 Lever Points that can trigger significant improvements in effectiveness and efficiency.

- 1 Accounting ties into many processes in other departments. These processes need to be integrated and automated.
- 2 Careful coordination with the IT Manager supports selection and 100% implementation of IT and AI solutions that are fully integrated for minimal cost.
- 3 Public Works is the area of city government with the highest potential for transformational change. Public Works is an area of high work volume that ranges from simple to complex with seasonality impacts on surges in staffing needs. This is an area of highest challenge for a small town to operate as a total solution. Primary amongst those challenges is water and wastewater services.
- 4 Strategic communications planning ties into change management efforts and the change management system. It is impossible to effectively change without strong communications.

Figure 4 – Transformation Roadmap, Phase 2: Phase 2 of the transformation continues development of the management systems and has a key focus on automation in accounting and a long-term strategy for Public Works.

3 Transformation Roadmap – Phase 3 Recommendations to Improve Effectiveness and Efficiency



Lever Points Description

Lever Points are places where a small shift in one area can produce big changes. Lever Points exist at each element but gain power through their interconnectedness—a change in one area often cascades to others. In phase 3, Blackberg identifies 1 Lever Point that can trigger significant improvements in effectiveness and efficiency.

1

It is critical that the various management systems within the City have alignment, and in some cases, shared information drawing from the same database. Further, it is important that within each system there exists alignment between people, process, IT, and customer objectives. TOGAF will significantly aid in designing, tracking, and maintaining such alignment and management.

2

A primary weakness of the City is a lack of quality, reliable, and timely information. A comprehensive dashboard will support communication of information to various stakeholders. It is also key to establish the dashboard in a manner that it reports on KPIs that show evidence of the various processes being used effectively and efficiently. In this sense, it can be a forcing mechanism for managers to complete all aspects of their job. This also ties directly to the RASCI framework element.

Figure 5 – Transformation Roadmap, Phase 3: Phase 3 includes purposeful development of a “system of systems” framework and finalizes process maturation to level 3 across the City.

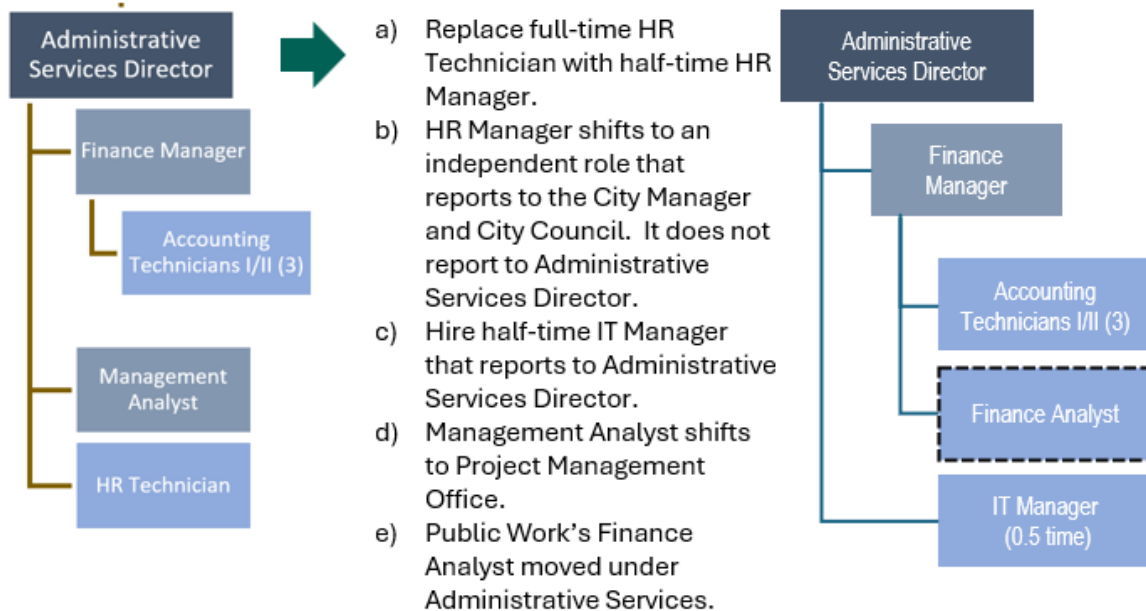
4.0 Organizational Staffing Perspective

In the following subsections and **Figures 6-11**, we provide recommendations for changes to the City's organizational structure. Please note that all estimated cost savings and cost increases are "base salary". They do not include overhead and indirect costs for the positions. Also, with any recommended position eliminations, we recommend this mostly be achieved through natural attrition versus any terminations of staff. However, some terminations might be necessary if it is found that existing staff have serious gaps in capabilities for their position.

4.1. Phase 1

- 1) **Hire an "HR Manager"** – This position is key to move the City from reactive hiring to strategic hiring. It is also a critical position to establish and lead the Talent Management System. We recommend that this position be 1.0 full-time. The position should be staffed with an individual that is at a more senior level of experience. They should have multiple years of HR experience in California (8+ years of total experience). We recommend that the HR Manager be maximally independent from the City Manager and Executive Managers to avoid any undue influence on hirings. Further, we recommend that the question of maintaining the independence of the HR Manager be a key question for the recommended FWA mitigation engagement. We estimate a base salary cost of \$120,000 annually. The existing HR Technician position is recommended for elimination, which will offset about half of the cost.
- 2) The existing Management Analyst position moves from Administrative Services into a newly established Program Management Office. There are no net cost savings or increases.
- 3) The Public Works Project Manager moves to the new Program Management Office. There are no net cost savings or increases.
- 4) The Public Works Finance Analyst moves under Administrative Services but continues to serve Public Works. This position also supports the new Program Management Office. The purpose of this move is to ensure that an accounting focused role maintains a line of reporting in accounting. There are no net cost savings or increases.
- 5) The Public Works Environmental Services Technician II and Assistant Engineer move under Community Development with no cost savings or increases.
- 6) **Hire an "IT Manager"** – The IT Manager (half-time) is added under Administrative Services. This is a key role to support digitization and automation efforts across the City. We estimate a base salary of \$90,000 (\$180,000 if full-time annually).
- 7) **Records Technician (Summer Intern)** – The City currently has many records in hard copy format only. We recommend the use of a Records Technician to digitize the hard copies. The job is relatively simple; however, it is critical to move all records to digital format to enable automation and knowledge management efforts. This is also a key task to reduce work volume on the City Clerk. We estimate the cost impact as small: \$8,160.
- 8) We recommend the elimination of the Director of Community Services position. However, we understand that the position does provide support for recreation. Therefore, we recommend the hiring of an addition Recreation Supervisor in combination with the elimination of Director of Community Services. We estimate a net cost savings of \$89,000. We recommend the elimination of the Deputy Community Services Director / City Librarian position which could reallocate approximately \$170,000 annually. This can be achieved with natural attrition of personnel instead of any terminations.

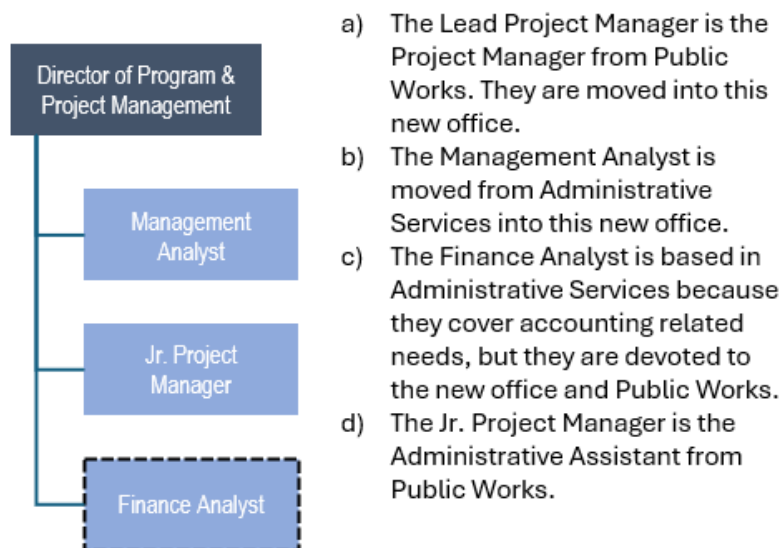
Phase 1 – Administrative Services



Note: Finance Analyst is based in Administrative Services but directly supports the Project Management Office and Public Works

Figure 6 – Phase 1 Recommended Organizational Structure Changes for Administrative Services.

Phase 1 – Program Management Office



Note: The “lightweight” PMO could begin with two positions formed by realigning existing resources—the Management Analyst and Public Works Project Manager

Figure 7 – Phase 1 Recommended Establishment of Program Management Office.

Phase 1 – Community Services

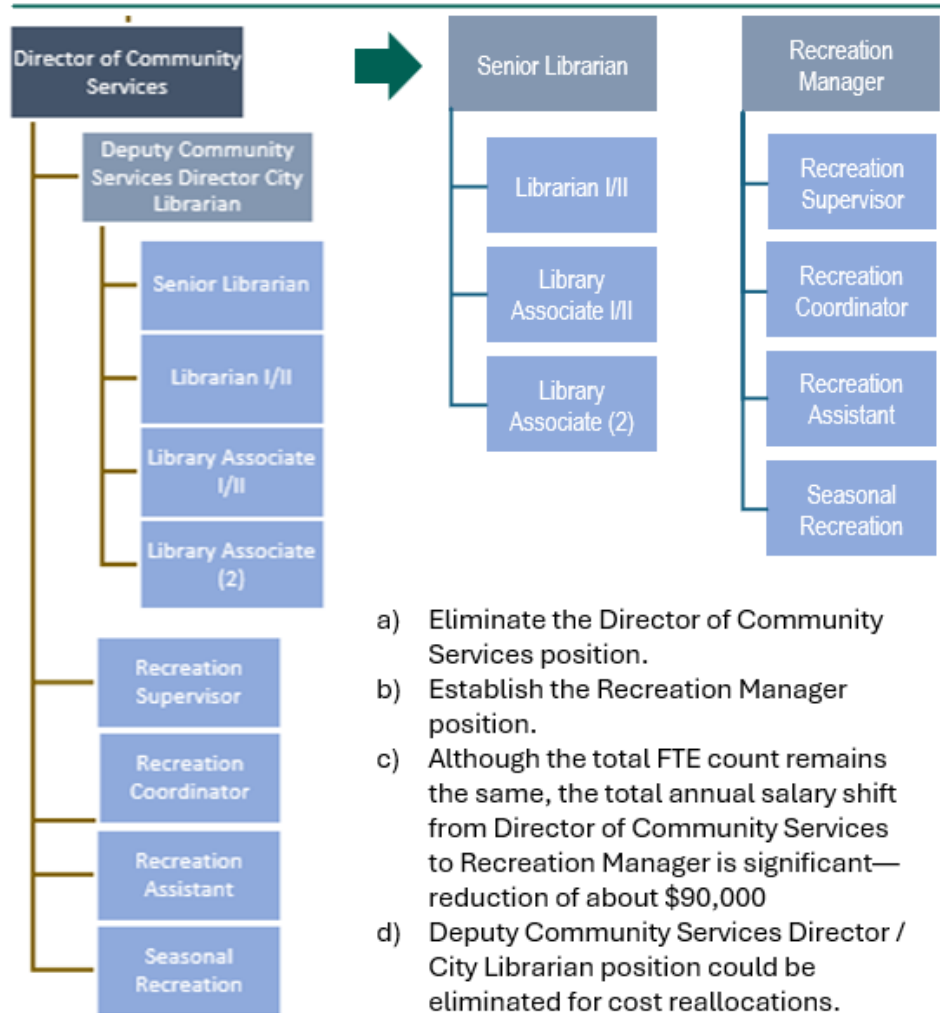


Figure 8 – Phase 1 Recommended Organizational Structure Changes for Community Services.

Phase 1 – Public Works

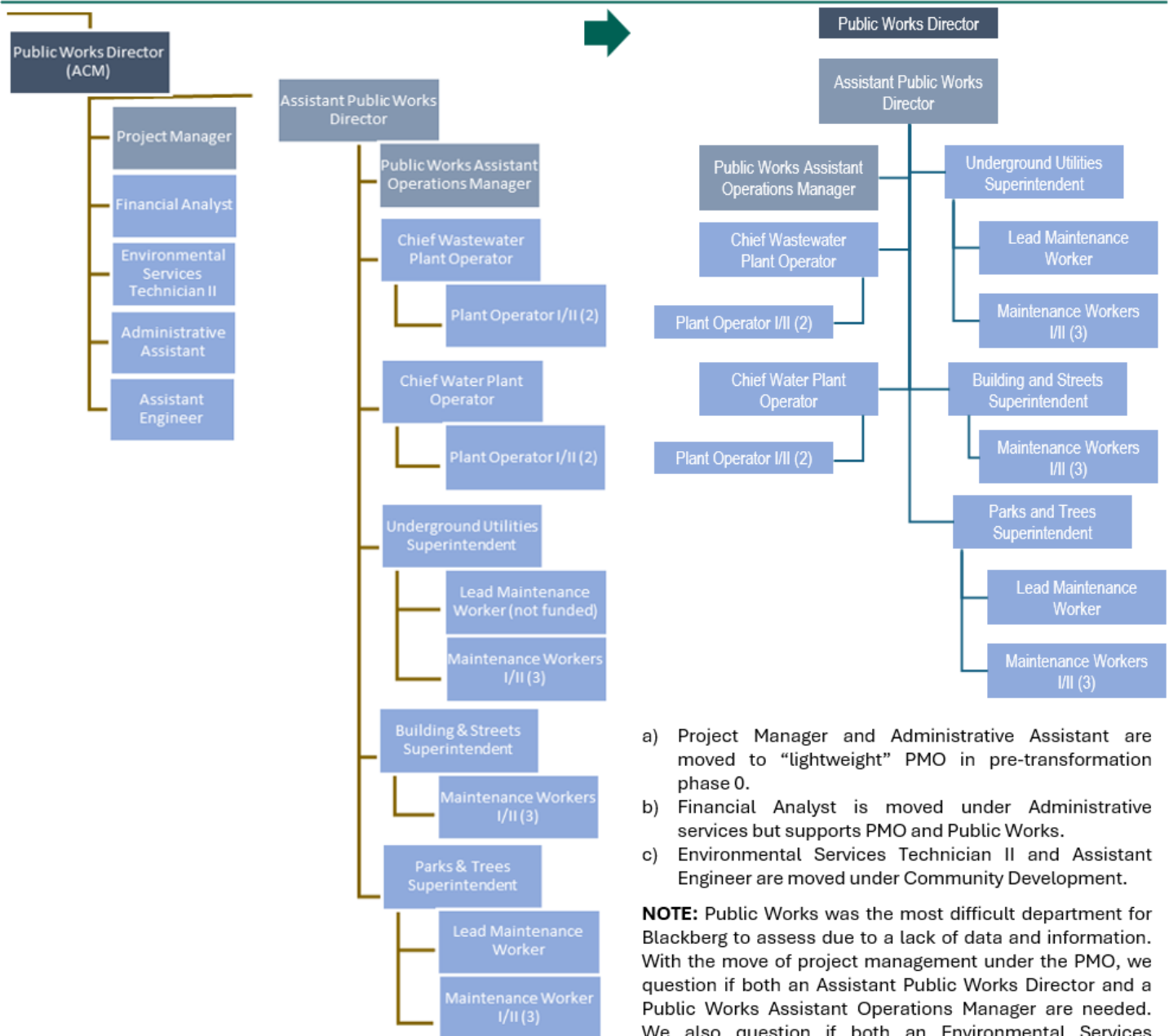


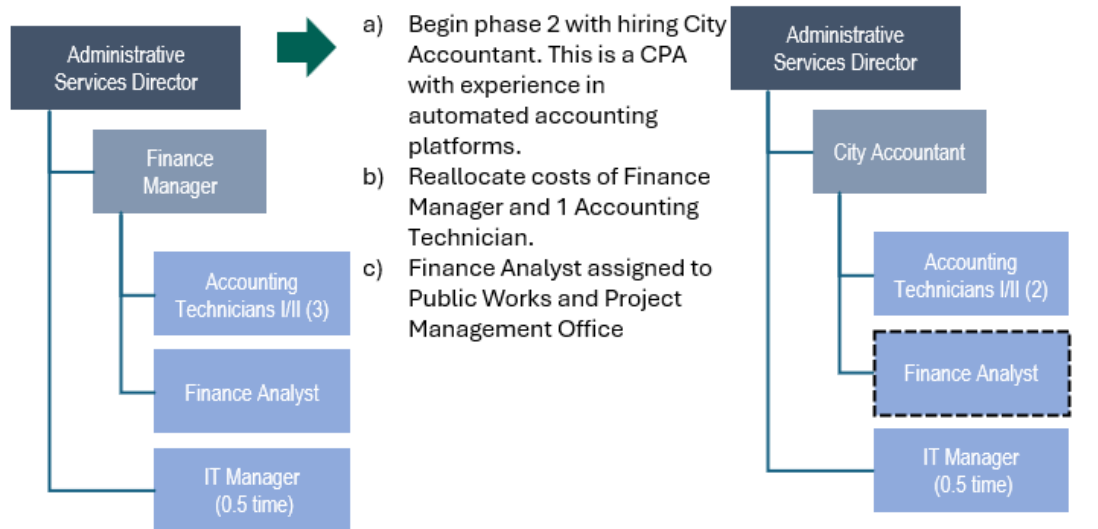
Figure 9 – Phase 1 Recommended Organizational Structure Changes for Community Services.

4.2. Phase 2

Hire a “City Accountant” – This position leads and manages all accounting efforts for the City. We recommend this position have minimum qualifications of a CPA; bachelor’s or master’s degree in accounting (no substitutions); and experience with automated accounting systems. We highly recommend that the City explore candidates beyond the Napa region and beyond individuals with government experience. This effort should begin in Phase 1 with a target start date at the beginning of Phase 2. This will create a temporary (~1 year) overstaffing of Administrative Services/Accounting to focus on the shift to automated solutions. Please note, many automated solutions are already available in the existing accounting system software; however, they have either not been activated or not fully implemented. We estimate the base salary cost of the City Accountant at \$147,000 annually. At the end of Phase 2, the Finance Manager and one (1) Accounting Technician position can be removed for cost reallocation. This will produce an estimated saving of approximately \$213,000.

Public Works – The City should explore long-term/very long-term strategies for staffing Water and Wastewater Treatment. The current staffing is lean, and it will be impossible for the City to ever achieve desirable economies of scale because its population size is low. Research shows that significant economies of scale begin with a population size of about 10,000 and continue to improve until about 50,000-100,000. This means that the City is always going to face efficiency and effectiveness challenges in Water and Wastewater Treatment. Blackberg believes that the optimal goal is to outsource Water and Wastewater Treatment. If successful, this would enable the elimination of one of the Public Works Senior Manager positions with possible reallocation of savings to building maintenance. We provide recommendations and further discussion in section 7.12.

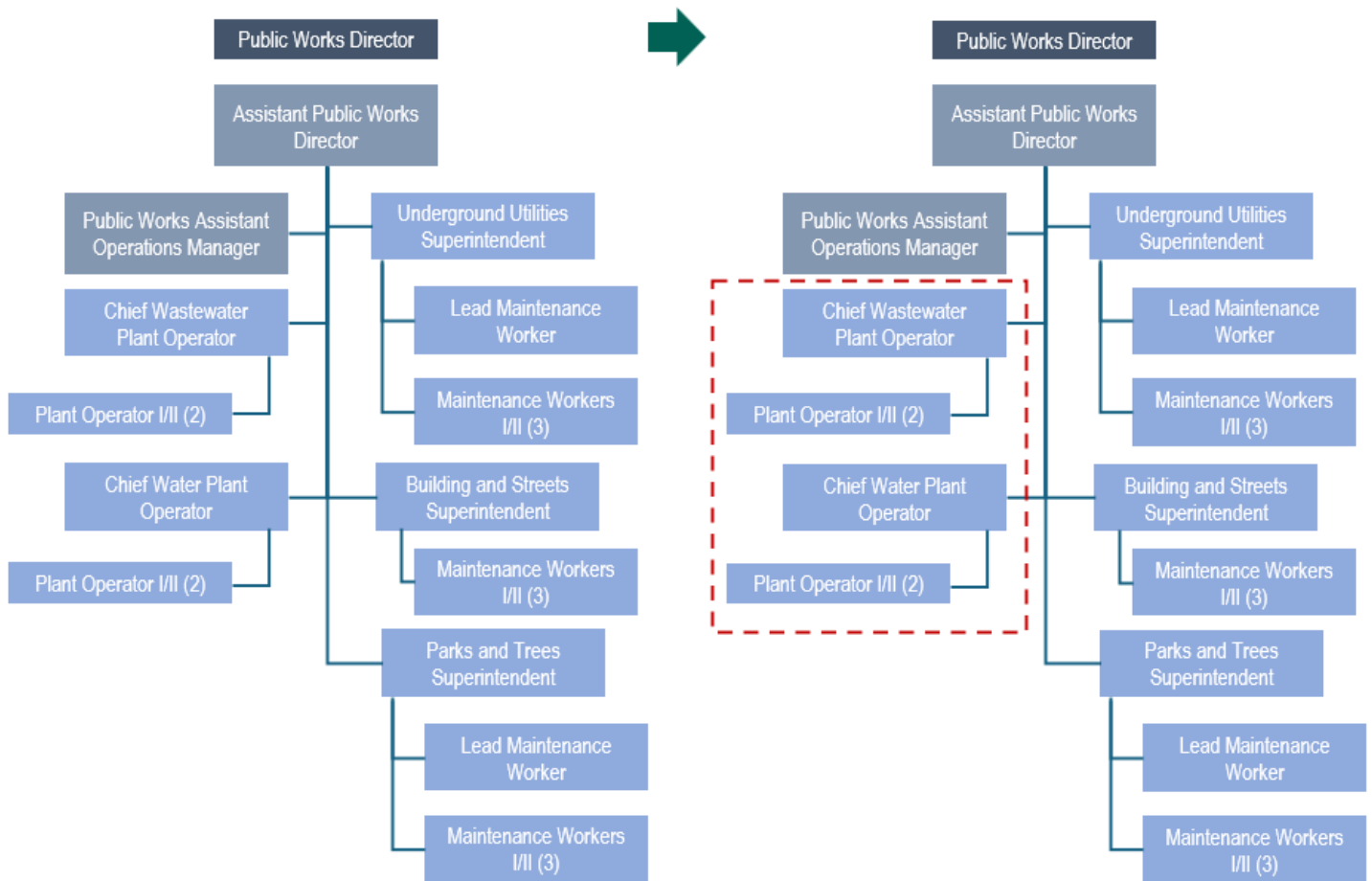
Phase 2 – Administrative Services



Note: Finance Analyst is based in Administrative Services but directly supports the Project Management Office and Public Works

Figure 10 – Phase 2 Recommended Organizational Structure Changes for Administrative Services.

Phase 2 – Public Works



Note: Phase 2 focuses on long-term analysis of options for Wastewater and Water (red-dashed box). Blackberg makes no staffing recommendations for this; however, we emphasize that the small resident population size will always make it difficult to achieve reasonable economies of scale in Wastewater and Water Treatment. Research shows that significant economies of scale begin with a population size of about 10,000 and continue to improve until about 50,000-100,000.

Figure 11 – Phase 2 Recommended Organizational Structure Changes for Public Works.

4.3. Phase 3

We do not have any recommended organizational changes for Phase 3.

4.4. Phase 1-3 Salary Considerations

In Deliverable 3A's Figure 6, we compared the City's total compensation for select manager roles to California averages. We also examined how much more expensive the cost of living in Napa County is in comparison to California average. Our findings indicate that the City is overpaying substantially for many positions, even when adjusted for cost-of-living differences. The City has an opportunity, over the long term, to reduce total compensation to market averages. The timing of these adjustments could occur at any time as we recommend the City achieve this through natural attrition of the positions. This represents a significant goal for the new HR Manager and "strategic hiring" efforts. Further, there are potential cost savings through strategic partnerships with adjacent municipalities. The City should explore strategic sharing of resources, such as the Police Chief, Fire Chief, IT Manager, or HR Manager, to reduce total salary burden on St. Helena. For clarity, the City should still target a half-time IT Manager and full-time HR Manager. However, those individuals could potentially

both be full-time, with their salary split between municipalities. The potential total cost savings of salary reduction to market averages and strategic partnering is over \$900,000 annually. However, it is very difficult to predict when these savings might be realized.

5.0 Pre-Transformation

5.1. Transformation Roadmap Editing and Enhancements

To secure additional organizational buy-in and refine the Transformation Roadmap before full implementation, the City should conduct a focused editing and enhancement process during the pre-transformation period. This activity involves targeted stakeholder feedback sessions with City Council, the City Manager, department heads, and key staff to validate timelines, resource needs, and interdependencies across the three phases.

The goal is to strengthen alignment with the emerging City Strategic Plan and ensure pre-transformation activities integrate seamlessly with Phase 1 priorities. Enhancements may include minor adjustments to sequencing, clearer performance metrics for lever points, or updated risk mitigations, while preserving the integrity of Blackberg's core recommendations.

Caution: The study strongly advises against significant changes to the Roadmap at this stage. Major revisions could undermine the evidence-based foundation developed through the full Efficiency and Business Transformation Study and delay momentum. Instead, the process should focus on refinement, clarification, and ownership. However, Blackberg believes more significant additions and refinements will be warranted in the future for phases 2 and 3 as the transformation advances and more information arrives.

5.2. Fraud, Waste, and Abuse (FWA) Mitigation RFP and Contract

Blackberg recommends that the City issue an RFP and award a contract for an independent, third-party FWA mitigation engagement. This specialized assessment will identify vulnerabilities in financial controls, procurement, payroll, contracts, and resource stewardship identified in the current state analysis.

Blackberg Group cannot participate due to an inherent conflict of interest; the selected firm must have no prior relationship with the City to ensure complete objectivity and maintain public confidence. The engagement will deliver comprehensive FWA risk assessments, forensic analytics, proactive prevention strategies (including internal control enhancements, anonymous reporting mechanisms, and staff training), and specific recommendations for remediation.

Of particular interest with FWA, the City should seek guidance on how to maintain the independence of the HR Manager to avoid undue influence of senior leaders wanting hiring for reasons misaligned with the City's interests. This should include discussion on cautions with consultant input that may not be entirely "independent."

5.3. Program Management Office

The City should establish a "lightweight" Program Management Office (PMO) at the beginning of pre-transformation period to serve as the central governance hub for the entire Transformation Roadmap. The PMO will be formed by realigning existing resources—the Management Analyst and Public Works Project Manager—at no net additional cost. The PMO can be fully built over the duration of the 2-4 month pre-transformation activities.

Once operational, the PMO will provide disciplined oversight of all pre-transformation and Phase 1 activities, including standardized project execution methodologies, risk management, resource allocation, stakeholder coordination, and progress tracking. It will ensure the multiple high-priority initiatives (strategic planning, BPR, dashboard development, governance framework, etc.) remain interconnected and on schedule.

Caution: Blackberg cautions strongly against viewing the PMO as wholly and solely responsible for implementing and developing the various initiatives of the transformation. The City Manager and Executive Management Team must remain extensively involved and ultimately accountable for outcomes.

The PMO creates the operational backbone that greatly improves the City's ability to achieve sustainable efficiency gains and successful transformation results. It also serves as the single point of integration for the FWA mitigation engagement, Change Management Training, HR Manager onboarding, and Strategic Planning preparation.

5.4. Change Management Training

During the pre-transformation period, the City should conduct comprehensive Change Management Training for leadership and staff. This training equips participants with proven frameworks—most notably the ADKAR Model and Kotter's 8-Step Process—to navigate organizational change effectively.

Participants will learn how to address emotional and practical barriers, minimize resistance, build coalitions, create urgency, generate short-term wins, and anchor new behaviors into the culture. The curriculum will be tailored to the City's specific transformation context, including the upcoming City Strategic Plan, Business Process Reengineering, new management systems, and potential staffing adjustments.

By completing this training before Phase 1 begins, the City will foster a culture of adaptability, stronger organizational buy-in, and successful execution of Business Process Reengineering and other high-priority initiatives. The training also directly supports the Strategic Planning Training and Preparation activity by giving leaders the tools needed to facilitate inclusive planning sessions and communicate vision effectively.

Caution: Change management cannot be treated as a one-time event; it must be reinforced continuously through the PMO and future communications plans. Early investment in these skills will reduce the risk of stalled initiatives and accelerate the realization of efficiency gains across all phases.

5.5. Human Resource Manager Hiring

The City should hire a highly capable, full-time Human Resources Manager (senior level with some California public-sector or equivalent experience and commercial experience) during the pre-transformation period. It is critical that the individual has experience and passion for hiring high performers and building highly capable teams. This should include substantial experience in recruiting from the commercial sector. This strategic hire is essential to move from reactive hiring to professional talent management and to support the broader transformation effort.

The HR Manager will lead development of the Talent Management System, modernize recruitment and onboarding practices, implement performance frameworks, and ensure strategic alignment between workforce planning and the City Strategic Plan. The position should be structured with appropriate independence from the City Manager and Executive Team to maintain impartiality, especially in relation to the FWA mitigation engagement.

Caution: The HR Manager must not be unduly influenced by the City Manager or Executive Management. The City should explicitly address this independence requirement in the job description and onboarding plan.

This role is foundational because much of the transformation's success hinges on the City's ability to attract, develop, and retain talent capable of executing BPR, new management systems, and cultural change. The HR Manager will also support the Records Technician (summer intern) hire and future strategic partnership explorations. Net cost impact is low after eliminating the existing HR Technician position.

5.6. Strategic Planning Training and Preparation

The City should conduct Strategic Planning Training and Preparation during the pre-transformation period to equip leadership and key staff with the knowledge and tools needed to develop St. Helena's first comprehensive City Strategic Plan.

Training will cover best-practice strategic planning methodologies, vision and mission development, situational analysis (SWOT), stakeholder engagement techniques, goal setting with measurable objectives, and alignment with the Transformation Roadmap. Participants will also review example strategic plans from peer municipalities to understand how to create a visually engaging, actionable document that serves as the North Star for all transformation activities.

This preparation ensures the strategic planning process itself models the desired future state—transparent, inclusive, data-informed, and resident-centered. It directly incorporates insights from the FWA mitigation engagement, customer-centered design principles, and organizational fitness findings.

By completing this activity before Phase 1, the City establishes the foundational alignment required for successful Business Process Reengineering, governance framework development, and all subsequent initiatives. The resulting City Strategic Plan will articulate clear priorities (including rebuilding trust through FWA mitigation and operational excellence) and provide the measurable outcomes against which transformation progress will be tracked.

6.0 Recommendations – Phase 1

6.1. City Strategic Plan (A.1)

The City of St. Helena stands at a pivotal moment. The Efficiency and Business Transformation Study has illuminated significant opportunities to modernize operations, strengthen governance, and rebuild public trust. A foundational step in realizing these opportunities is the development and adoption of a new, comprehensive City Strategic Plan, the priority (A.1) in the proposed transformation roadmap. Based on input from multiple managers, we understand that St. Helena has never had a strategic plan. It is time for that to change.

A robust strategic plan will serve as the unifying framework for all subsequent initiatives, ensuring that business process reengineering, technology modernization, organizational restructuring, and FWA mitigation efforts advance in a coordinated, purposeful direction. Without a clear strategic vision, even the most well-designed improvements risk becoming fragmented or misaligned with community expectations.

The plan should articulate a compelling vision: a City government that is transparent, resident-centered, fiscally responsible, and operationally excellent. Central themes might include:

- **Rebuilding Community Trust:** Trust has been eroded by past concerns around fraud, waste, and abuse. The strategic plan should explicitly commit to FWA mitigation as a core pillar, with measurable goals for enhanced internal controls, regular audits, and public reporting. Establishing trust with residents must be a defining theme, demonstrated through tangible actions rather than rhetoric alone.
- **Customer-Centered Service Delivery:** Incorporate customer-centered design principles from the outset. The plan should prioritize understanding resident and business needs, streamlining interactions, and measuring satisfaction, ensuring that process improvements translate into better experiences at every touchpoint.
- **Operational Excellence and Maturity Growth:** Align the plan with the phased movement toward CMMI Maturity Level 3, embedding continuous quality improvement, integrated management systems (knowledge, talent, quality, asset, customer relationship), and modern technology frameworks (TOGAF, ITIL 4). The strategic plan should set

clear targets for efficiency gains, cost savings, and service enhancements across departments, with particular emphasis on high-impact areas like Public Works and financial management.

- **Long-Term Sustainability:** Address the unique challenges and strengths of St. Helena—seasonal demands, water and wastewater infrastructure, tourism-driven economy, and small-city scale. The plan should outline strategies for strategic partnerships, potential outsourcing where appropriate, and investments in predictive analytics and preventative maintenance to ensure resilient essential services.

The planning process itself should model the desired future state: inclusive, transparent, and data-informed. Engage City Council, staff, residents, business leaders, and regional partners through workshops, surveys, and public forums. Leverage insights from the transformation study deliverables—current state analysis, organizational review, technology assessment, and process improvement findings—to ground objectives in evidence.

Implementation should begin immediately, targeting adoption within the next 12–18 months, with annual progress reviews tied to the City Council Executive Dashboard. The newly recommended Human Resources and IT Managers should play key roles in supporting plan execution.

By placing the City Strategic Plan at the forefront of the transformation agenda, St. Helena can chart a clear path toward a more effective, efficient, and trusted local government—one that honors its heritage while confidently meeting future demands.

Core Attributes of a Strategic Plan vs. a Simple List of Goals and Objectives

A **strategic plan** is a comprehensive, dynamic roadmap that guides an organization (like a city government) toward long-term success. It goes far beyond merely listing goals or objectives, which are often static, disconnected aspirations that lack context, direction, or accountability. A simple list might say "Improve public trust" or "Enhance operational efficiency," but it doesn't explain *why*, *how*, *who*, *when*, or *how to measure* progress. This can lead to fragmented efforts, misaligned resources, and limited impact.

In contrast, an effective strategic plan integrates analysis, inspiration, execution, and adaptation into a cohesive framework. It aligns the entire organization, builds buy-in, and enables ongoing adjustment in response to changing conditions—critical for a municipality like St. Helena facing trust issues, fiscal constraints, and operational challenges.

Aspect	Simple List of Goals/Objectives	Comprehensive Strategic Plan
Scope	Narrow: Broad or specific aspirations (e.g., "Reduce waste," "Build trust")	Holistic: Full roadmap from current reality to future vision
Foundation	None or minimal	Mission (purpose), Vision (future state), Core Values (guiding principles)
Analysis	Absent	Situational assessment (e.g., SWOT, current state review, stakeholder input)
Direction	Vague outcomes	Prioritized goals (broad, long-term) + SMART objectives (specific, measurable)
Execution	No "how"	Strategies (approaches), action plans (tactics, timelines, responsibilities, resources)
Capabilities	Often ignored	Ensuring City staff have the capabilities and experience needed to execute the strategy
Measurement	Rarely included	KPIs, metrics, dashboards for tracking progress and outcomes
Accountability & Adaptation	None	Assigned roles, regular reviews, flexibility to adjust based on results

Engagement	Limited	Inclusive process with stakeholders (residents, staff, council) for buy-in and relevance
Outcome	Often unrealized or siloed	Sustainable change, alignment, and measurable impact over 3–10 years

For St. Helena, a true strategic plan would weave in themes like community trust and customer-centered design, ensuring transformation efforts (e.g., BPR, IT modernization) cascade from a unified vision, turning aspirations into achievable, accountable progress.

Common best practices of strategic planning/strategic plans include:

- **Clear Foundational Elements:** Starts with a compelling mission (why the city exists), vision (desired future), and values (e.g., transparency, resident-centered service) to inspire and unify.
- **Robust Situational Analysis:** Grounds the plan in reality via SWOT (strengths, weaknesses, opportunities, threats), data review, and community input—essential for addressing issues like FWA mitigation or Public Works challenges.
- **Hierarchical Goals and Objectives:** Broad goals linked to specific, measurable objectives, prioritized to focus limited resources.
- **Strategies and Actionable Initiatives:** Details *how* to achieve objectives, including phased implementation, resource allocation, and integration across departments.
- **Performance Measurement:** Defines KPIs and monitoring tools (e.g., executive dashboards) to track adherence and results.
- **Implementation and Accountability:** Assigns owners, timelines, and budgets; ties to operational plans and annual reviews.
- **Stakeholder Involvement and Communication:** Engages residents, staff, and council throughout for ownership and trust-building.
- **Flexibility and Urgency:** Includes mechanisms for annual updates and a sense of priority to drive change without rigidity.

There are many small towns and cities strategic plans that St. Helena can review for inspiration and ideas. We provide some snapshots from such examples below (**Figures 12–14**).

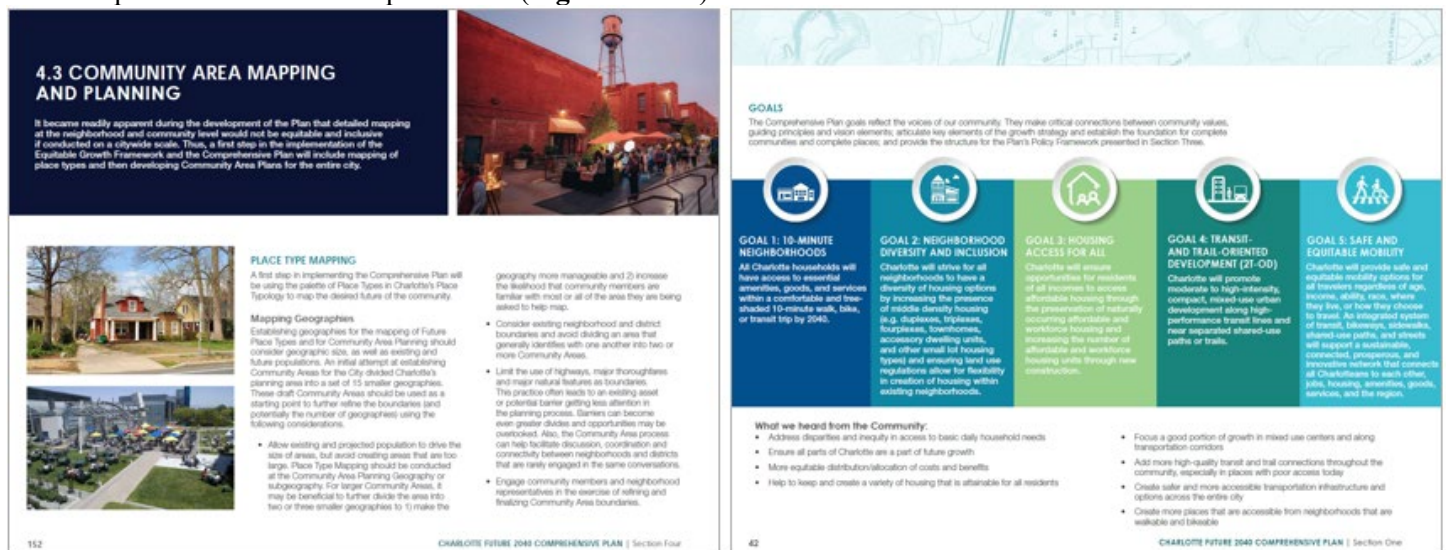


Figure 12 – Strategic Plan Example 1: City strategic plans can cover a wide range of topics, goals, and interests that are addressed in a holistic manner.



Figure 13 – Strategic Plan Example 2: City strategic plans are visually engaging and informative.



Figure 14 – Strategic Plan Example 3: City strategic plans establish a mission and vision while including actionable priorities with timelines.

6.2. Strategic Hiring (A.2)

The City of St. Helena’s Efficiency and Business Transformation Study underscores that organizational capacity is a critical bottleneck to achieving operational excellence. Strategic hiring must be elevated as an immediate priority to build the internal expertise needed for sustainable change.

Current staffing gaps, particularly in specialized roles, limit the City’s ability to execute complex initiatives like business process reengineering, IT modernization, FWA mitigation, and maturity growth toward CMMI Level 3. Filling key positions with qualified, change-oriented professionals will provide the leadership and technical skills essential for success.

Immediate High-Priority Hires:

- **Human Resources Manager:** To develop a Talent Management System, modernize recruitment and retention practices, implement performance frameworks, and foster a culture of continuous improvement and accountability.
- **IT Manager:** To lead cloud migration (e.g., RIMS replacement), select and integrate AI-enabled solutions, establish ITIL 4 governance, and support automation across departments.
- **City Accountant (Phase 2):** To strengthen financial controls, integrate accounting processes, and enhance FWA safeguards.

These roles should be recruited strategically: craft position descriptions aligned with the emerging City Strategic Plan, emphasize competencies in change management and customer-centered design, and target candidates with transformation experience. Competitive compensation, flexible work options, and clear career paths will be vital to attract top talent to a small community.

Strategic hiring extends beyond initial roles. Adopt best practices including competency-based selection, diverse candidate pools, and onboarding tied to transformation goals. Integrate hires into cross-functional teams to accelerate knowledge transfer and momentum.

By investing in the right people early, St. Helena can catalyze cascading improvements—unlocking efficiency gains, rebuilding trust, and positioning the organization for long-term resilience. Seek candidates that have the foundational education and training, coupled with interest, to become future executive managers in the City. Begin recruitment within the next 3–6 months, coordinating with interim support as needed.

Critical Recommendation

To attract the transformative talent required for the Efficiency and Business Transformation Study’s recommendations, the City should broaden its recruiting strategy beyond candidates with exclusively municipal government experience or traditional public administration degrees.

The Council-Manager form of government was intentionally designed to import private-sector best practices into public administration, modeling the City Council after a board of directors and the City Manager after a CEO. This structure was created to deliver greater efficiency, strategic long-term planning, and non-partisan professional expertise.

Remaining faithful to that founding vision, St. Helena should actively recruit private-sector leaders with proven expertise in change management, business process improvement, technology implementation, and financial stewardship. Expanding searches beyond the Napa region—ideally to a multiple State scope—will deepen the candidate pool and enable the City to secure high-caliber professionals at competitive, market-aligned salaries.

This approach will infuse fresh perspectives and innovative practices, accelerating progress toward operational excellence, stronger internal controls, and renewed community trust.

6.3. Strategic Partnerships (A.3)

St. Helena should pursue **strategic partnerships to enhance capacity and fiscal sustainability**. As a small city with limited scale, St. Helena faces ongoing challenges in attracting specialized talent, managing costs, and delivering resilient services. Strategic partnerships—identified as a Phase 1 priority (A.3)—represent a high-impact opportunity to address these constraints through collaboration with neighboring jurisdictions, Napa County, regional consortia, and select private or nonprofit providers.

Partnerships enable shared expertise, risk, and resources while preserving local control. They align directly with the transformation study’s emphasis on efficiency, maturity growth, and community trust, allowing the City to access capabilities beyond its individual capacity without disproportionate fiscal burden.

A core focus should be **Regional Water District** and **cost-shared leadership positions**, where salaries, benefits, and overhead are apportioned based on usage or population:

- **Police Chief and Fire Chief:** Explore joint appointments or contracts with Napa County or nearby cities. Shared chiefs can provide strategic leadership, advanced training access, and enhanced emergency coordination while significantly reducing the City’s full-time cost burden.
- **IT Manager and Human Resources Manager:** Form regional shared-service agreements with other small municipalities. A fractional IT Manager could oversee cloud migration, cybersecurity, and integrated systems across partners at lower per-entity expense. Similarly, a shared HR Manager would professionalize recruitment, talent management, and policy implementation without requiring dedicated full-time roles.

Beyond leadership, pursue partnerships for joint procurement, shared training programs, grant collaborations, and specialized services (e.g., regional GIS or financial auditing). These models have proven effective in small California communities, yielding 20–40% cost savings while improving service quality.

Initiate a formal partnership exploration task force, including Council, staff, and regional stakeholders, to evaluate options, negotiate memoranda of understanding, and pilot low-risk arrangements within 12 months. Prioritize agreements that include clear performance metrics, exit clauses, and alignment with the City Strategic Plan.

Strategic partnerships will amplify internal transformation efforts, deliver measurable fiscal relief, and position St. Helena as a collaborative regional leader—ultimately strengthening service delivery and resident trust.

6.4. RASCI Matrix Launch (A.4)

RASCI—Responsible (executes the task), Accountable (owns the outcome), Supports (provides resources/assistance), Consulted (offers input), and Informed (kept updated)—is a proven responsibility assignment framework that brings precision to role definition in complex or ambiguous environments (See **Figure 15**).

For St. Helena, where small staff size often leads to overlapping duties, informal handoffs, and unclear decision authority, the absence of explicit role clarity contributes to inefficiencies, delayed execution, and heightened risk of errors or fraud, waste, and abuse. The current state analysis reveals process bottlenecks rooted in “who does what” confusion, which undermines both daily operations and transformation initiatives.

Implementing a RASCI Matrix will directly address these issues by:

- **Eliminating ambiguity:** Every critical process, project, and recurring task will have clearly documented roles, reducing duplication, missed steps, and finger-pointing.

- **Strengthening accountability:** A single Accountable party per activity ensures ownership and aligns with enhanced internal controls and FWA mitigation priorities.
- **Facilitating collaboration:** Explicit Support and Consulted roles promote cross-departmental coordination without overload, essential for business process reengineering and integrated management systems. This also enables direct ties to committees.
- **Supporting change management:** As new processes, technologies, and structures emerge, RASCI provides a living tool to redefine responsibilities, reduce resistance and accelerate adoption.
- **Enabling performance tracking:** Matrices can feed into executive dashboards, allowing Council and leadership to monitor adherence and identify gaps.

Begin with high-priority processes (e.g., finance, permitting, public works) in Phase 1, involving staff in matrix development for buy-in. Store matrices in the Knowledge Management System and review quarterly as part of continuous quality improvement.

By institutionalizing RASCI, St. Helena will foster a culture of clarity and ownership, laying essential groundwork for maturity growth, operational excellence, and sustained community trust.



Figure 15 – RASCI: RASCI is critical for defining what City employees should be doing.

6.5. Fraud, Waste, & Abuse (FWA) Mitigation Engagement (A.5)

Based on the findings from Blackberg's current state assessment, concluded January 2026, which identified potential vulnerabilities in financial controls, operational processes, and resource stewardship within the City's administration, we recommend the City Council procure specialized consulting services focused on FWA detection, prevention, and mitigation. We have not found conclusive proof of existing or past fraud; however, we have seen evidence of non-criminal waste and abuse.

Blackberg Group, LLC cannot serve in this capacity due to an inherent conflict of interest. As the firm that recently conducted the current state assessment, Blackberg has deep prior involvement in evaluating the City's financial controls, operational processes, and potential vulnerabilities. Engaging the same firm to perform the subsequent specialized FWA analysis and detection work would potentially compromise objectivity, independence, and the integrity of the investigation. This could undermine public confidence in the findings and expose the City to risks of perceived or actual bias. However, Blackberg will provide recommendations in Deliverable 4 that will include tactics to detect and prevent FWA.

To preserve the credibility, thoroughness, and impartiality of this next step, **the City should engage an entirely independent third-party consulting firm with no prior contractual relationship or involvement with the City.**

The selected firm should have:

- **No previous engagements** with the City (as contractor, consultant, subcontractor, or otherwise) to avoid any appearance—or reality—of compromised independence.
- Comprehensive FWA risk assessments and data-driven analytics to identify irregularities in procurement, payroll, grants, contracts, and other high-risk municipal functions.
- Forensic accounting capabilities, including transaction tracing, loss quantification, evidence preservation, and expert witness support for investigations or litigation.
- Proactive prevention strategies, such as enhancing internal controls, establishing or improving anonymous hotlines, conducting staff training, and implementing continuous monitoring tools.
- A track record of serving city or local governments, ensuring familiarity with public sector regulations, transparency requirements, and taxpayer accountability.

Procurement guidelines should explicitly require disclosure of any past or current relationships with the City, its officials or employees, or related entities, with disqualification for any material conflicts.

Preference should be given to firms demonstrating a strong track record of ethical independence in public sector engagements, including adherence to professional standards (e.g., those from the Association of Certified Fraud Examiners or Government Auditing Standards).

Initial Measures to Prevent FWA

Municipal governments, especially smaller ones, commonly face FWA risks in areas like procurement, payroll, financial transactions, and resource use. Leading organizations such as the Government Finance Officers Association (GFOA), Association of Certified Fraud Examiners (ACFE), and various state/local guidelines recommend proactive, layered approaches focusing on prevention, detection, and response. These tactics emphasize internal controls, culture, and technology to reduce vulnerabilities while building public trust.

Tactic	Description	Examples/Benefits
Strong Internal Controls	Implement segregation of duties, multi-level approvals, and reconciliations to prevent single-person control over high-risk processes.	Require dual sign-off on payments; automate invoice matching. Reduces errors and manipulation (GFOA core recommendation).
Fraud Risk Assessments & Audits	Conduct regular internal/external audits and targeted risk assessments to identify vulnerabilities.	Annual fraud risk reviews; surprise audits in finance/procurement. Enables early detection (ACFE and GFOA frameworks).
Whistleblower Hotlines & Reporting Policies	Establish anonymous reporting channels and anti-retaliation protections.	Toll-free hotlines or online forms. Encourages staff/residents to report suspicions; often detects 40%+ of frauds (ACFE reports).
Employee Training & Ethics Programs	Provide mandatory training on red flags, ethics, and code of conduct.	Annual sessions on common schemes (e.g., billing fraud). Fosters a culture of integrity; “tone at the top” from leadership is key.
Clear Policies & Procedures	Develop written fraud prevention policies, including vendor controls and conflict disclosures.	Mandate competitive bidding; require vendor verification. Standardizes operations and deters abuse (common in California municipal policies).
Technology & Data Analytics	Use automated tools for monitoring and anomaly detection.	Implement ERP systems with audit logs; AI for pattern analysis in spending/payroll. Cost-effective for proactive detection in resource-limited cities.
Background Checks & Vendor Due Diligence	Screen employees/vendors and monitor ongoing relationships.	Pre-employment checks; regular vendor audits. Prevents insider threats and contractor fraud.

Tactic	Description	Examples/Benefits
Independent Oversight	Engage external experts for reviews or create internal audit committees.	Hire independent forensic consultants for high-risk assessments. Ensures objectivity, especially post-vulnerability findings.

A core concern that led Blackberg to make this FWA recommendation (procure specialized consulting services focused on FWA) is the large lack of management systems within the City. The recommendations that we provide in proceeding sections concerning the establishment of Knowledge Management, Governance, Policy Documentation, and other management systems will greatly aid the City in combating potential FWA.

6.6. Enhanced City Council Oversight Design (A.6)

Enhanced City Council Oversight Design (A.6) is a Phase 1 priority that builds directly on the **Fraud, Waste, and Abuse (FWA) Mitigation Engagement (A.5)**. The FWA engagement—through its current state assessment and vulnerability identification—will surface any gaps in financial controls, procurement, payroll, contracts, and resource stewardship that undermine fiscal integrity and public confidence. Enhanced oversight design translates these findings into structural improvements that empower the City Council to provide more effective, proactive monitoring and accountability.

In small municipalities like St. Helena, Council oversight has often been limited by inconsistent information, reactive reporting, and limited visibility into operational risks. The FWA engagement provides the evidence base: documented vulnerabilities that require stronger governance mechanisms to prevent recurrence, detect issues early, and ensure corrective action. Designing enhanced oversight addresses these by shifting from periodic reviews to systematic, data-informed supervision.

Key Elements of the Recommended Design:

- **Structured Oversight Mechanisms:** Establish dedicated committees or working groups focused on high-risk areas (e.g., finance/audit, operations/compliance (this already exists to some extent)) with clear charters, meeting cadences, and authority to request reports or audits.
- **Expanded Reporting Requirements:** Mandate regular, standardized reports from the City Manager on FWA-related metrics, internal control effectiveness, audit findings, and policy adherence. Include exception reporting for anomalies (e.g., unapproved expenditures, vendor issues).
- **Risk-Based Review Protocols:** Develop a risk register derived from the FWA engagement findings, prioritizing oversight on vulnerable processes. Require quarterly deep dives into top risks, with staff presentations and Council questioning.
- **Independent Assurance Integration:** Incorporate findings from independent FWA consulting (recommended separately) and internal/external audits into Council briefings. Establish protocols for following up on recommendations.
- **Transparency and Public Engagement:** Design mechanisms for public reporting of oversight activities (e.g., summarized findings in meeting agendas) to reinforce trust and demonstrate responsiveness to FWA concerns.
- **Alignment with Broader Governance:** Link oversight to the emerging Governance & Policy Framework, RASCI matrices for accountability, and dashboards for real-time visibility.

Design Approach: Led by the City Manager with Council input, begin design in Phase 1 (Months 1–9) following FWA engagement conclusions. Form a Council-staff working group to review FWA vulnerabilities and map them to oversight enhancements. Draft charters, reporting templates, and protocols; seek legal review for compliance with Brown Act and ethics rules. Pilot enhanced reporting in one high-risk area (e.g., finance) to test effectiveness.

Provide Council training on FWA risks, oversight best practices, and data interpretation. Tie progress to dashboards for tracking oversight metrics (e.g., issues identified/resolved, follow-up completion rates).

Benefits:

- Directly mitigates FWA risks through proactive Council scrutiny.
- Strengthens accountability between administration and elected officials.
- Rebuilds resident trust by demonstrating rigorous stewardship.
- Supports transformation success by ensuring governance keeps pace with change.

This enhanced oversight design turns FWA findings into actionable governance improvements, creating a more vigilant, transparent Council role that safeguards public resources and sustains long-term fiscal health.

6.7. Enhanced City Council Oversight Implementation (A.7)

Following the **Enhanced City Council Oversight Design** phase, implementation (A.7) activates the new oversight mechanisms, turning structural improvements into operational reality. This step builds directly on the FWA Mitigation Engagement and the designed enhancements, ensuring the City Council can exercise proactive, informed supervision over high-risk areas identified in the current state assessment—financial controls, procurement, payroll, contracts, and resource stewardship. Successful implementation embeds accountability, transparency, and early risk detection into routine Council activities, preventing recurrence of past vulnerabilities while demonstrating tangible progress in rebuilding resident trust.

Key Implementation Steps:

- **Launch and Activation (Months 9–12):** Formalize adoption through a Council resolution endorsing the enhanced oversight structure. Establish or re-charter dedicated committees (e.g., Finance/Audit Oversight, Operations & Compliance) with defined scopes, meeting schedules (at least quarterly), and authority to summon reports, staff, or external auditors. Assign a Council liaison for each committee to coordinate with the City Manager.
- **Reporting Rollout (Months 10–15):** Implement standardized reporting templates derived from FWA findings—monthly or quarterly packets covering key risk indicators, exception logs, internal control status, audit follow-ups, and policy compliance metrics. Require the City Manager to present these in closed-session briefings when sensitive, with summarized public versions for open meetings.
- **Training and Capacity Building (Months 10–18):** Deliver targeted training for Council members on FWA risks, oversight best practices, interpreting dashboards, and asking probing questions. Include sessions on legal/ethical boundaries (Brown Act compliance, confidentiality) and data literacy to ensure effective use of new tools.
- **Integration with Tools and Processes (Months 12–18):** Link oversight to the initial dashboards for real-time visibility into prioritized metrics (e.g., approval exceptions, budget variances, vendor concentration). Require RASCI matrices for oversight-related decisions and tie follow-up actions to the Governance & Policy Framework.
- **Monitoring and Adjustment (Ongoing from Month 12):** Track implementation effectiveness through simple metrics (e.g., meeting attendance, issues escalated/resolved, Council satisfaction surveys). Conduct a 6-month review to refine processes, reporting formats, and committee charters based on experience.

Benefits:

- Enables proactive identification and resolution of FWA risks before escalation.
- Strengthens separation of policy/oversight from administration.
- Provides Council with the tools and information needed for confident stewardship.
- Signals to residents a serious commitment to accountability and transparency.

Resources and Support: Led by the City Manager with strong Council involvement; allocate modest funds (~\$5–8K) for training, facilitation, and initial dashboard enhancements. Use the Change Management System to address any adjustment challenges among Council or staff.

By methodically implementing these enhancements, St. Helena transforms Council oversight from reactive to strategic—ensuring FWA vulnerabilities are actively managed and the City operates with the rigor and transparency residents expect.

6.8. City Council Executive Dashboard (A.8)

Building directly on the **Enhanced City Council Oversight Implementation** (A.7), the **City Council Executive Dashboard** (A.8) serves as the digital centerpiece for effective, proactive oversight. With new committees, standardized reporting protocols, and heightened focus on FWA risks established in the implementation phase, the Executive Dashboard translates those mechanisms into real-time, visual intelligence. It empowers Council members to monitor high-priority metrics without relying solely on periodic staff reports—enabling faster identification of exceptions, trends, or emerging issues in financial controls, procurement, policy compliance, and transformation progress.

Key Features:

- **FWA-Focused Indicators:** Real-time alerts and summaries for anomalies (e.g., unapproved disbursements, vendor concentration, payroll exceptions) tied to vulnerabilities identified in the FWA engagement.
- **Oversight Metrics:** Track committee follow-up status, audit resolution rates, policy refresh compliance, and risk register updates.
- **Strategic Alignment:** Display progress against the City Strategic Plan goals, BPR milestones, training completion, and efficiency gains.
- **Visual & Accessible Design:** Traffic-light status indicators, trend charts, heat maps, and drill-down capabilities; mobile-friendly for Council review.
- **Secure & Role-Based:** Restricted access with audit logs to protect sensitive data while ensuring Council can view summarized public versions.

Implementation Approach: Led by the IT Manager with Council input and oversight committee guidance, develop in Phase 1 (Months 12–18). Use low-code tools (e.g., Power BI) integrated with existing data sources and planned systems (Knowledge Management). Start with a minimum viable dashboard featuring 10–12 core metrics prioritized from FWA findings and oversight needs. Conduct Council training on interpretation and interaction. Pilot with one committee, gather feedback, and iterate before full rollout.

Benefits:

- Enables proactive, evidence-based oversight, catching issues early.
- Reinforces accountability and transparency post-FWA engagement.
- Reduces information asymmetry between Council and administration.
- Demonstrates tangible modernization to residents.

This dashboard operationalizes enhanced oversight, making Council supervision more effective, timely, and impactful—solidifying trust and fiscal stewardship.

6.9. Customer-Centered Design Framework (A.9)

Establishment of a **Customer-Centered Design (CCD) Framework** (See **Figure 16**) is as a high priority Phase 1 item, recommending that City management teams familiarize themselves with CCD principles before initiating business process reengineering (BPR). This resident-focused approach provides an essential external lens for evaluating existing processes, ensuring improvements prioritize user needs over internal convenience alone.

CCD (also known as human-centered design) is an iterative methodology that emphasizes empathy, user research, ideation, prototyping, and testing to create intuitive, effective services. For St. Helena, CCD shifts the organizational mindset from “how we do things” to “how residents experience things,” directly supporting themes of transparency, efficiency, and community engagement.

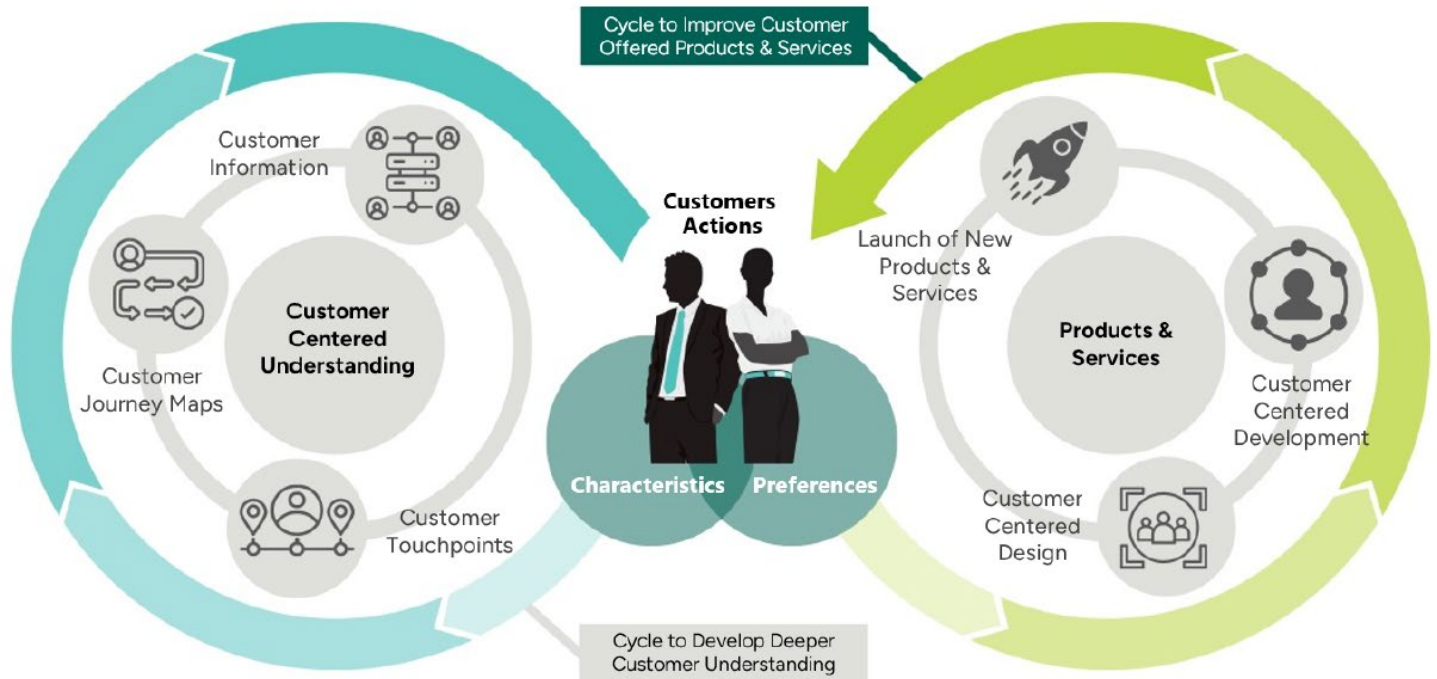


Figure 16 – Customer-Centered Design Framework: *This resident-focused approach provides an essential external lens for evaluating existing processes.*

The key benefits of CCD include:

- Uncovers hidden pain points in resident interactions (e.g., complex permitting or fragmented communication), reducing waste from rework and complaints.
- Designs To-Be processes that are simpler and more accessible, improving satisfaction, compliance, and operational outcomes.
- Builds public trust through inclusive engagement, demonstrating the City’s commitment to listening and responding.
- Complements later initiatives like the Customer Relationship Management System and executive dashboards with user-derived metrics.

Implementation Approach for Customer-Centered Design Framework

To ensure successful adoption, the CCD Framework should be rolled out in structured phases over 18–24 months, led by a dedicated cross-functional CCD Committee (including the City Manager, department directors, and resident representatives). This committee will oversee progress, allocate resources, and report quarterly to City Council via the Executive Dashboard.

Train and Build Capacity (Months 1–6): Begin with foundational training using established models like the Double Diamond (Discover, Define, Develop, Deliver). Deliver interactive workshops for 25–50% of staff, starting with leadership

and BPR teams. Build and designate internal “champions.” Create a CCD resource library in the Knowledge Management System, including templates for empathy maps and personas.

Embed in BPR Phases (Months 3–18): Systematically integrate CCD tools into ongoing reengineering. During As-Is analysis, develop resident personas and journey maps to visualize pain points. In To-Be design, prototype solutions (e.g., digital forms or service counters) and test with real users. Mandate CCD checkpoints in all BPR projects, ensuring designs prioritize accessibility, simplicity, and inclusivity.

Foster Continuous Engagement (Ongoing, starting Month 4): Launch multi-channel feedback mechanisms: an online resident portal, quarterly focus groups, pop-up events at community venues, and partnerships with local organizations. Tie input directly to process improvements, publicly sharing “You Said, We Did” updates to demonstrate responsiveness.

Measure and Iterate (Months 6+): Define success metrics early (e.g., Net Promoter Score for services (modified for municipal government), reduction in complaints, or time saved per transaction). Conduct post-implementation user testing and annual audits, adjusting the framework based on results and aligning with CMMI maturity goals.

6.10. Begin Business Process Reengineering (Maturity Level 2) (A.10)

We provide this recommendation in conjunction with our recommendations from Deliverable 3B. Please read Deliverable 3B before or after reading this section. Deliverable 3B provides additional details and visuals for reference. Further, we again emphasize that the City should complete the Customer-Centered Design Framework step prior to significant engagement in business process reengineering.

Business Process Reengineering (BPR) represents a foundational step in elevating the City of St. Helena’s operational maturity from its current CMMI Level 1-2 state to a more structured, efficient, and resident-focused Level 3 framework. As detailed in the Information and Insight Analysis (Deliverable 2), the City’s processes are largely informal, reactive, and person-dependent, with limited standardization, documentation, and cross-departmental integration. This immaturity manifests in inefficiencies such as backlogged workflows in Administrative Services, inconsistent asset tracking in Public Works, and siloed operations across departments like Community Development and Finance. The Process Improvement and Efficiency Potential (Deliverable 3C) further highlights financial pressures, including \$1.6 million in potential annual cost savings through staffing reallocations, market salary adjustments, and strategic partnerships—savings that are contingent on process maturation, IT automation, and AI adoption.

At Maturity Level 2 (Repeatable/Defined), BPR focuses on establishing repeatable processes with basic ownership, documentation, and controls. This recommendation builds upon the Customer-Centered Design Framework outlined in prior discussions, emphasizing resident needs (e.g., reliable water quality, affordable housing, and well-maintained roads) as the core driver for redesign. It integrates with IT enhancements (e.g., transitioning to cloud-based systems like Azure and AI tools for automation) and governance improvements (e.g., an Integrated Policy-Performance Grid to align policies with processes and metrics). The goal is to create transparent, accountable workflows that reduce redundancies, lower costs by 20-30% in targeted areas, and improve service delivery metrics, such as reducing permit processing times from 28 days to under 14 days.

This comprehensive BPR approach is divided into five phases: As-Is Diagramming, As-Is Analysis, To-Be Design, To-Be Implementation, and Continuous Quality Improvement. Each phase includes actionable steps, timelines, responsible parties, required resources, potential challenges, and performance measures. Drawing from the Organizational Structure and Staffing Component (Deliverable 3A), we recommend reassigning resources—such as shifting the Public Works Financial Analyst to Administrative Services—to support BPR without immediate staff reductions.

Phase 1: As-Is Diagramming

The first phase of BPR involves mapping the current (“As-Is”) processes to create a baseline understanding of how work flows across the City. Currently, as noted in Deliverable 2, processes in Public Works (e.g., water treatment and street maintenance) rely on verbal handoffs and legacy spreadsheets, leading to delays and errors. Administrative Services faces

integration issues with tools like Springbrook and OpenGov, resulting in manual reconciliations that consume 20-30% of staff time. Community Development's permitting processes, while somewhat documented, lack swimlane maps to visualize interdepartmental dependencies, contributing to 28-day average response times for building permits.

To address this, begin with a citywide process inventory using SIPOC (Supplier, Input, Process, Output, Customer) diagrams, as recommended in the BPM framework. This will document 50-70 core processes across departments, starting with high-impact areas like budget development (Administrative Services), asset maintenance (Public Works), and permit approval (Community Development).

Step-by-Step Actions:

1. **Form a BPR Team:** Assemble a cross-functional team of 8-10 members, including department heads (e.g., Administrative Services Director as lead, Public Works Director, Community Development Director), and a resident representative from the Finance Committee.
2. **Conduct Process Discovery Workshops:** Hold 4-6 workshops (one per major department) to identify inputs, outputs, and steps. Use tools like Miro, Microsoft PPT, or Microsoft Visio for collaborative diagramming. For example, map Public Works' water treatment process: Suppliers (chemical vendors), Inputs (raw water samples), Processes (filtration and testing), Outputs (compliance reports), Customers (residents). Incorporate data from Grapevine reports (e.g., 532 PW tickets in 2025) to quantify volumes.
3. **Create As-Is Maps:** Develop 20-30 SIPOC diagrams and basic swimlane maps for key processes. For instance, the budget process map would show handoffs from departments to Finance, highlighting bottlenecks in data collection. Integrate with existing tools like ArcGIS for asset-related processes.
4. **Validate Maps:** Review diagrams with frontline staff and residents for accuracy. Use feedback from Godbe surveys (e.g., low satisfaction with road maintenance at 0.45 rating) to prioritize.

Potential Challenges and Mitigation:

- **Resistance to Documentation:** Staff may view mapping as time-consuming. Mitigate by emphasizing how it reduces rework (e.g., 15% time savings in Finance per Baker Tilly estimates).
- **Data Gaps:** Public Works lacks quantitative data (e.g., no tracking of street repairs beyond "fun facts"). Mitigate with interim manual logs and AI tools for data capture.
- **Interdepartmental Silos:** Use the IPP Grid to align governance, ensuring processes like permitting involve Public Works early.

Performance Measures:

- Completion rate of SIPOC maps: 100% for priority processes.
- Staff participation rate: 80% in workshops.
- Time to complete phase: Under 12 weeks.

This phase establishes a shared understanding of inefficiencies, such as the 14-day delay in acknowledging Grapevine tickets in Public Works, setting the stage for analysis.

Phase 2: As-Is Analysis

With As-Is maps in hand, analyze processes for inefficiencies, bottlenecks, and alignment with resident needs. Deliverable 3C identifies \$625,000 in staffing reduction potential, but these are contingent on process improvements to eliminate redundancies (e.g., manual data entry in Finance due to poor SaaS integration). Public Works' asset management is at Level 1, with no centralized tracking, leading to reactive maintenance and \$2.5 million annual infrastructure shortfalls per Baker Tilly. Administrative Services' payroll and budgeting processes are manual, contributing to backlogs and error rates estimated at 10-15% based on staff interviews.

Employ root-cause analysis techniques like the 5 Whys and fishbone diagrams to identify issues. For example, analyze why water quality complaints persist: Root causes may include outdated treatment processes (Level 1 maturity) and lack of predictive analytics.

Step-by-Step Actions:

1. **Gather Performance Data:** Collect quantitative data (e.g., process times, error rates) and qualitative feedback (e.g., staff surveys on pain points). Use Godbe data showing 37% resident concern with water issues to prioritize.
2. **Identify Inefficiencies:** Analyze maps for waste (e.g., 20% staff time in Public Works on redundant inspections). Calculate costs, such as \$100,000 annual overtime in Administrative Services due to manual reconciliations. Compare to benchmarks (e.g., national average 10-day permit processing vs. St. Helena's 28 days).
3. **Assess Maturity and Risks:** Rate each process using the BPM checklist (e.g., Public Works at Level 1 for controls). Identify risks like compliance failures in wastewater (91% preventive maintenance rate per illustrative dashboard). Integrate governance analysis, noting gaps in policy-process alignment (e.g., no IPP Grid for budget strategies).
4. **Prioritize Processes:** Rank based on impact (e.g., high for water management, affecting 37% of residents per Godbe). Use Pareto analysis to focus on 20% of processes causing 80% of issues.

Potential Challenges and Mitigation:

- **Data Availability:** Departments like Public Works lack metrics. Mitigate by using proxy data from Grapevine (e.g., 532 tickets) and AI for estimation.
- **Stakeholder Buy-In:** Resistance from staff fearing criticism. Mitigate with anonymous feedback and emphasis on system, not individual, issues.
- **IT Integration:** Poor SaaS connectivity hampers analysis. Mitigate by coordinating with Apex for interim reports.

Performance Measures:

- Number of root causes identified: 50+ across processes.
- Process inefficiency cost estimate: \$500,000+ annual.
- Resident alignment score: 70% of prioritized processes address top Godbe concerns.

This phase quantifies problems, such as \$300,000 in lost productivity from siloed systems, informing To-Be design.

Phase 3: To-Be Design

The To-Be phase redesigns processes for efficiency, incorporating IT (e.g., AI for predictive maintenance) and governance (e.g., RASCI charts for accountability). Target Level 2 (and preparation for shifting to Level 3) maturity with standardized workflows. For Public Works, redesign asset management to include centralized tracking via Azure, reducing reactive repairs by 30%. In Administrative Services, automate budgeting with OpenGov integration, cutting manual work by 25%. Community Development can use AI chatbots for permit inquiries, dropping response times to 14 days.

Step-by-Step Actions:

1. **Define To-Be Vision:** Align with resident priorities (e.g., 85% water satisfaction target). Use BPM framework to design Level 2 subprocesses.
2. **Redesign Processes:** Create swimlane maps for 20 priority processes. For example, water treatment: Integrate AI for real-time monitoring, reducing discolored water incidents by 50%. Incorporate governance with IPP Grid linking policies to metrics (e.g., compliance rate >95%).
3. **Incorporate IT and AI:** Recommend tools like Microsoft Power BI for dashboards and agentic AI for automation (e.g., chatbots handling 40% of inquiries).

4. **Pilot Designs:** Test redesigned processes in one department (e.g., Public Works' street maintenance). Adjust based on feedback.

Potential Challenges and Mitigation:

- **Resistance to Change:** Use ADKAR model (Awareness, Desire, Knowledge, Ability, Reinforcement) to build buy-in. Train 80% of staff.
- **Resource Constraints:** Leverage partnerships (e.g., Calistoga for shared AI tools) to reduce costs by 20%.
- **Governance Gaps:** Develop RASCI charts to clarify roles, reducing conflicts by 40%.

Performance Measures:

- Process efficiency gain projection: 25% time reduction.
- Alignment with strategy: 90% of redesigned processes tied to budget strategies.
- Cost savings estimate: \$300,000 annual from automation.

This phase creates future-state maps, ensuring designs are customer-centered and integrated with IT/governance.

Phase 4: To-Be Implementation

Implement redesigned processes with phased rollouts, starting with pilots in Public Works and Administrative Services. Deliverable 3A recommends staffing reallocations to support implementation without net increases.

Step-by-Step Actions:

1. **Develop Implementation Plan:** Create Gantt charts for rollout, assigning owners (e.g. Executive Managers).
2. **Train Staff:** Conduct 10 sessions on new processes and tools (e.g., AI training).
3. **Deploy IT Enhancements:** Migrate to Azure (100% cloud by Q2 2027), integrate SaaS.
4. **Monitor and Adjust:** Use dashboards to track KPIs (e.g., 95% on-time maintenance). Conduct biweekly reviews.

Potential Challenges and Mitigation:

- **Implementation Overload:** Phase over 6 months, starting with 20% of processes.
- **Budget Constraints:** Offset with \$590,000 salary savings from market adjustments (Deliverable 3C).
- **Cultural Resistance:** Apply Kotter's 8 Steps, creating urgency around resident satisfaction.

Performance Measures:

- Adoption rate: 85% of staff using new processes.
- Initial efficiency gain: 15% reduction in backlogs.
- Compliance rate: 95% with new governance standards.

This phase transitions the City to Level 2 maturity, realizing \$400,000 in savings.

Phase 5: Continuous Quality Improvement

Embed QMS for ongoing enhancement, using ISO 9001 principles adapted for municipalities. Focus on feedback loops, with monthly MESS boards in departments.

Step-by-Step Actions:

1. **Establish QMS Framework:** Adopt RASCI for accountability, IPP Grid for alignment.
2. **Implement Monitoring Tools:** Deploy dashboards for KPIs like 90% preventive maintenance in Public Works.

3. **Conduct Reviews:** Quarterly audits, annual Godbe-style surveys. Adjust based on data (e.g., reduce water complaints by 20%).
4. **Foster Innovation:** Train on Lean/Six Sigma, reward improvements (e.g., \$5,000 annual fund).

Potential Challenges and Mitigation:

- **Sustainment Fatigue:** Rotate champions, tie to performance reviews.
- **Data Quality:** Use AI for automated tracking, ensuring 95% accuracy.
- **Evolving Needs:** Annual IPP Grid updates to incorporate new policies.

Performance Measures:

- Improvement projects completed: 20 per year.
- Resident satisfaction increase: 15% in Godbe-style metrics.
- Cost savings sustained: \$1.3 million annual (post-investments per Deliverable 3C).

Integration with IT and Governance

BPR integrates with IT by prioritizing cloud migration and AI (e.g., \$80,000 annual investment yielding 20% efficiency). Governance is enhanced through IPP Grid, ensuring 100% policy-process alignment. This creates a cohesive system, reducing risks like the \$2.5 million infrastructure shortfall.

Conclusion

This “BPR initiative at Level 2 maturity” positions St. Helena for sustainable transformation, addressing inefficiencies identified in Deliverables 2 and 3. By Year 2, expect \$.8 million in savings, improved resident satisfaction (target 0.7 Godbe rating for key areas), and Level 2 maturity. Success requires leadership commitment, with progress tracked via quarterly reports to Council. This customer-centered approach not only resolves current pain points but builds resilience for future challenges.

6.11. New Positions & Hirings (A.11)

The current state analyses highlighted significant organizational capacity gaps that impede the City’s ability to execute critical initiatives, including business process reengineering, technology modernization, FWA mitigation, and progression toward CMMI Maturity Level 3. To address these constraints and drive sustainable change, we recommend the immediate creation and filling of two specialized leadership roles: **Human Resources (HR) Manager** and **IT Manager**.

These positions represent foundational investments in people and technology—the core enablers of transformation to improve efficiency and effectiveness. Current staffing limitations result in overburdened generalists, inconsistent practices, and delayed implementation of recommended systems (e.g., Talent Management, Knowledge Management, cloud-based platforms). Dedicated experts will provide the strategic focus, technical depth, and change leadership required to accelerate progress while fostering accountability and efficiency.

HR Manager. This role is critical to building a high-performing, accountable workforce aligned with transformation goals. The City currently lacks centralized HR expertise, leading to fragmented recruitment, limited performance management, and challenges in talent retention amid competitive markets. The HR Manager will:

- Develop and implement a comprehensive Talent Management System, including modern recruitment strategies, competency-based hiring, and succession planning.
- Establish performance frameworks, training programs, and policies supporting continuous improvement and ethical culture.

- Lead change management efforts, staff engagement in BPR, and FWA-related training to reinforce internal controls.

Without this position, initiatives like RASCI matrix adoption, policy adherence tracking, and cultural shifts toward customer-centered design will stall.

IT Manager. Technology underpins nearly every efficiency gain identified in the study, yet the City relies on outdated systems, siloed systems, and limited internal expertise. The IT Manager will provide dedicated leadership to modernize infrastructure and enable integration:

- Oversee cloud migration (e.g., full RIMS replacement), cybersecurity enhancements, and adoption of ITIL 4 governance.
- Select and implement integrated AI solutions for automation, anomaly detection, and process optimization across departments.
- Support dashboard development, data analytics, and system interoperability essential for executive oversight and FWA monitoring.
- Manage IT service contractors (i.e. currently Apex).

This role ensures technology investments deliver maximum value, minimizing risks from siloed or manual tools.

Recruitment should begin immediately, targeting candidates with municipal or transformation experience, change management skills, and alignment to the emerging City Strategic Plan. Competitive compensation and national searches will attract top talent. These hires will catalyze cascading improvements, positioning St. Helena for operational excellence and renewed community trust. Ideally, the City is able to hire them inclusive of a strategic partnership with another municipality to reduce cost.

6.12. Talent Management System (A.12)

We recommend the development of a **Talent Management System (A.12)** as a foundational Phase 1 initiative to elevate organizational capability, support continuous quality improvement, and enable progression toward CMMI Maturity Level 3 (See **Figure 17**). In small municipalities like St. Helena, talent processes are often ad hoc—relying on informal recruitment, limited performance tracking, and minimal development opportunities. This leads to challenges in attracting skilled professionals, retaining institutional knowledge, aligning staff with strategic goals, and fostering accountability amid competitive public-sector labor markets.

A comprehensive Talent Management System integrates recruitment, onboarding, performance management, learning and development, succession planning, compensation alignment, and analytics into a unified framework. Guided by the recommended Human Resources Manager, it will professionalize HR practices, ensuring the City builds a resilient, high-performing workforce capable of executing transformation priorities.

Research from the MIT Sloan Management Review article "*Six Principles of Effective Global Talent Management*" (based on studies of top-performing global companies like GE, IBM, P&G, and Shell) provides a proven blueprint. These organizations excel by adhering to six interconnected principles, which—when adapted to local government—offer a roadmap for St. Helena:

1. **Alignment with Strategy:** Talent practices must directly support the City's Strategic Plan, focusing on competencies needed for BPR, FWA mitigation, and customer-centered service delivery.
2. **Internal Consistency:** Ensure interconnected processes (e.g., linking recruitment criteria to performance evaluations and training) for seamless execution.
3. **Cultural Embeddedness:** Embed values like transparency, accountability, and resident focus into hiring, assessments, and development to reinforce an ethical, trust-oriented culture.
4. **Management Involvement:** Require leadership (City Manager, department heads, Council oversight) to actively participate in talent reviews, mentoring, and succession planning.
5. **Balance of Global and Local Needs:** Adopt best practices (e.g., competency frameworks) while tailoring to St. Helena's small-city scale, seasonal demands, and community expectations.
6. **Employer Branding Through Differentiation:** Market the City as an innovative, mission-driven employer emphasizing work-life balance, community impact, and professional growth to attract private-sector talent.



Figure 17 – Talent Management: This framework addresses key aspects of talent management.

Key Benefits:

- **Enhanced Recruitment and Retention:** Broader, competency-based searches yield diverse, change-ready hires; structured development reduces turnover.
- **Performance and Accountability:** Objective evaluations tied to RASCI matrices and dashboards promote merit-based advancement and policy adherence.
- **Change Readiness:** Targeted training accelerates adoption of new processes, technologies, and systems.
- **Ethical Reinforcement:** Values-based practices support FWA prevention and public trust.
- **Data-Driven Decisions:** Analytics track skill gaps, engagement, and ROI on talent investments.

Implementation: Begin in Phase 1 with policy development (A.13), selecting scalable cloud-based tools integrated with Knowledge and future CRM systems (this could be as simple as using SharePoint). Pilot with leadership roles, expanding organization-wide.

By adopting these principles, St. Helena will transform talent management from a reactive function into a strategic asset—unlocking efficiency, innovation, and sustained community confidence.

6.13. Talent Management Policies (A.13)

Talent Management Policies (A.13) are a Phase 1 recommendation to formalize and institutionalize a modern approach to workforce development. These policies will codify the processes, standards, and expectations within the emerging Talent Management System, ensuring consistency, transparency, and accountability across the organization. Without clear, written

policies, talent practices remain vulnerable to inconsistency, favoritism, or misalignment—risks that undermine efficiency, ethical culture, and public trust in a small municipality like St. Helena.

Talent Management Policies serve as the governing framework for attracting, developing, evaluating, and retaining employees. They translate strategic intent into actionable rules, aligning individual performance with City goals such as operational excellence, customer-centered service, and FWA mitigation. Drawing from best practices (e.g., MIT Sloan principles of alignment, consistency, and cultural embeddedness), these policies will promote merit-based decisions, professional growth, and a high-performance culture.

Core Policy Components:

- **Recruitment and Selection:** Define competency-based hiring, candidate sourcing (including private-sector talent), national searches, and structured interviews to secure change-ready professionals.
- **Performance Management:** Establish objective evaluation criteria, regular feedback cycles, goal-setting tied to RASCI matrices and the City Strategic Plan, and developmental action plans.
- **Learning and Development:** Mandate ongoing training (e.g., change management, ethics, customer-centered design, cyber security) with individualized plans and tracking via dashboards.
- **Compensation and Recognition:** Outline equitable pay structures, performance incentives, and non-monetary rewards to enhance retention.
- **Succession Planning and Ethics:** Require identification of key roles, cross-training, conflict-of-interest disclosures, and anti-retaliation protections for reporting concerns.
- **Equity and Inclusion:** Embed principles of diversity, fairness, and accessibility to reflect community values.

Benefits:

- Reinforce accountability by standardizing practices, reducing FWA risks through transparent processes.
- Accelerate transformation by ensuring staff are equipped for BPR, technology adoption, and maturity growth.
- Build resident trust via a professional, ethical workforce perceived as merit-driven.

Implementation: Led by the new Human Resources Manager, policy development should begin immediately post-hiring. Form a cross-departmental working group for input, benchmark against leading small-city models, and integrate with the Knowledge Management System for centralized access. Target draft policies within 6–9 months, with Council approval and annual reviews tied to continuous improvement. By establishing robust Talent Management Policies early, St. Helena will create a sustainable foundation for organizational resilience, employee engagement, and long-term success.

6.14. Training Program (A.14)

The establishment of a **Training Program** (A.14) is a high-priority lever point in Phase 1, essential for building staff capacity and ensuring successful adoption of transformation initiatives. In small organizations training is often informal or reactive, leading to skill gaps, resistance to change, inconsistent process execution, and heightened risks in areas like FWA mitigation. A structured, ongoing training program will equip employees with the knowledge, tools, and mindset needed to drive operational excellence and maturity growth.

This program will foster a culture of continuous learning, directly supporting key priorities: business process reengineering, technology modernization, customer-centered design, RASCI implementation, and ethical governance. By investing in employee development, the City demonstrates commitment to its workforce while enhancing service quality and resident trust.

Core Components:

- **Foundational Training:** Mandatory sessions on core frameworks—customer-centered design principles, change management, RASCI roles, and continuous quality improvement—to align staff with transformation goals.
- **Technical and Role-Specific Skills:** Targeted modules for new systems (e.g., cloud platforms, dashboards, AI tools) and departmental needs (e.g., financial controls, procurement best practices).
- **Ethics and Compliance:** Annual FWA awareness training, covering red flags, reporting protocols, and internal controls to reinforce accountability.
- **Leadership Development:** Programs for managers on performance coaching, strategic alignment, and inclusive leadership.
- **Soft Skills and Innovation:** Workshops on communication, problem-solving, and resident engagement to support cultural shifts.

Benefits:

- Accelerates adoption of To-Be processes and technologies, reducing implementation delays and errors.
- Enhances employee engagement and retention by providing growth opportunities.
- Strengthens risk management through consistent application of controls and policies.
- Enables measurable progress via training metrics in executive dashboards.

Implementation: Led by the HR Manager in coordination with the IT Manager, development should begin within 6 months of their hiring. Conduct a needs assessment via surveys and skill gap analysis, then design a blended program (in-person workshops, online modules, on-the-job mentoring). Leverage cost-effective resources: free platforms (e.g., LinkedIn Learning, Coursera for Government), regional partnerships, and internal champions. Track completion and effectiveness through the Talent Management System, with annual refreshes tied to strategic plan updates.

By prioritizing a robust Training Program early, St. Helena will empower its team to sustain change, innovate effectively, and deliver superior public service—unlocking the full value of the transformation roadmap.

6.15. RIMS Replacement to go Fully Cloud (A.15)

RIMS Replacement to go Fully Cloud (A.15) is important for modernizing the City’s records and information management infrastructure. RIMS (Records Information Management System), legacy on-premises public safety or records management platform, currently limits scalability, integration, security, and efficiency. Transitioning to a fully cloud-based system will eliminate outdated hardware dependencies, enable seamless access, enhance data security, and support broader transformation goals like integrated management systems, AI automation, and executive dashboards.

Legacy on-premises RIMS installations often suffer from high maintenance costs, vulnerability to cyber threats, limited remote access, and poor interoperability with emerging tools. A cloud migration addresses these by providing:

- **Scalability and Flexibility:** Cloud platforms automatically scale with demand, accommodating seasonal surges or growth without capital hardware investments.
- **Enhanced Security and Compliance:** Built-in encryption, role-based access controls (RBAC), multi-factor authentication, automated backups, and audit trails strengthen FWA mitigation and data protection—critical post-ransomware recovery.
- **Improved Accessibility and Collaboration:** Real-time access from any device supports remote work, cross-departmental coordination, and resident self-service portals (e.g., for public records requests).

- **Cost Efficiency:** Shift from capital expenditures to predictable operational costs, with reduced IT overhead and automatic updates.
- **Integration and Innovation:** Enable connectivity with future systems (e.g., CRM, asset management, AI analytics) under TOGAF/ITIL 4 frameworks, facilitating anomaly detection and process automation.

Implementation Approach:

- **Assessment and Planning (Months 1–3):** Led by the new IT Manager, conduct a needs analysis, evaluate vendors (e.g., modern cloud-native records solutions like those from Sun Ridge Systems' RIMS or equivalents with cloud options), and develop a migration roadmap aligned with the City Strategic Plan.
- **Vendor Selection and Procurement (Months 4–6):** Issue an RFP prioritizing cloud-native features, data sovereignty, California compliance (e.g., CPRA), and integration capabilities.
- **Migration and Testing (Months 7–12):** Execute phased data transfer, user training, and parallel running to minimize disruption. Include cybersecurity hardening and disaster recovery testing.
- **Go-Live and Optimization (Ongoing):** Launch with monitoring, user feedback loops, and integration into dashboards for performance tracking.

Budget modestly for migration support and training. This move will deliver immediate resilience, long-term cost savings, and foundational support for maturity growth, positioning St. Helena for secure, efficient, resident-centered operations.

6.16. TOGAF, ITIL 4, and CMMI (A.16)

Integrate TOGAF (The Open Group Architecture Framework), ITIL 4 (IT Infrastructure Library), and CMMI (Capability Maturity Model Integration) (A.16) into the City's IT operations and business operations (See **Figure 18**). For a small municipality like St. Helena, grappling with legacy systems (e.g. RIMS), recent cybersecurity incidents, and the need for scalable, resident-centered services, these frameworks provide a synergistic foundation for IT maturity. St. Helena should use a **simplified/scaled down version** of TOGAF, ITIL 4, and CMMI to fit its size and sophistication. Integrating them will align IT with business goals, optimize service delivery, and foster continuous improvement—essential for cloud migration, process reengineering, and FWA mitigation while supporting the journey to CMMI Level 3 certification.

- TOGAF is an enterprise architecture methodology that guides the design, planning, and governance of IT structures. It emphasizes a holistic view, using phases like Preliminary, Architecture Vision, and Business/IT /Data/ Application/ Technology Architectures to create blueprints that ensure IT supports organizational objectives. For St. Helena, TOGAF will structure the "System of Systems" in Phase 3, integrating disparate tools into a cohesive ecosystem.
- ITIL 4 focuses on IT service management (ITSM), promoting value co-creation through a service value system (SVS) that includes guiding principles, governance, service value chain, practices, and continual improvement. It shifts from rigid processes to flexible practices, incorporating agile and DevOps elements for modern service delivery. This is crucial for operational resilience, such as incident management post-ransomware and service desk enhancements.
- CMMI assesses and improves process maturity across five levels (Initial to Optimizing), covering areas like process management, project management, and engineering. It provides a staged path to measurable improvements, ensuring repeatability and optimization. Targeting Level 3 (Defined) in Phase 3 will standardize IT processes, reducing risks and inefficiencies.

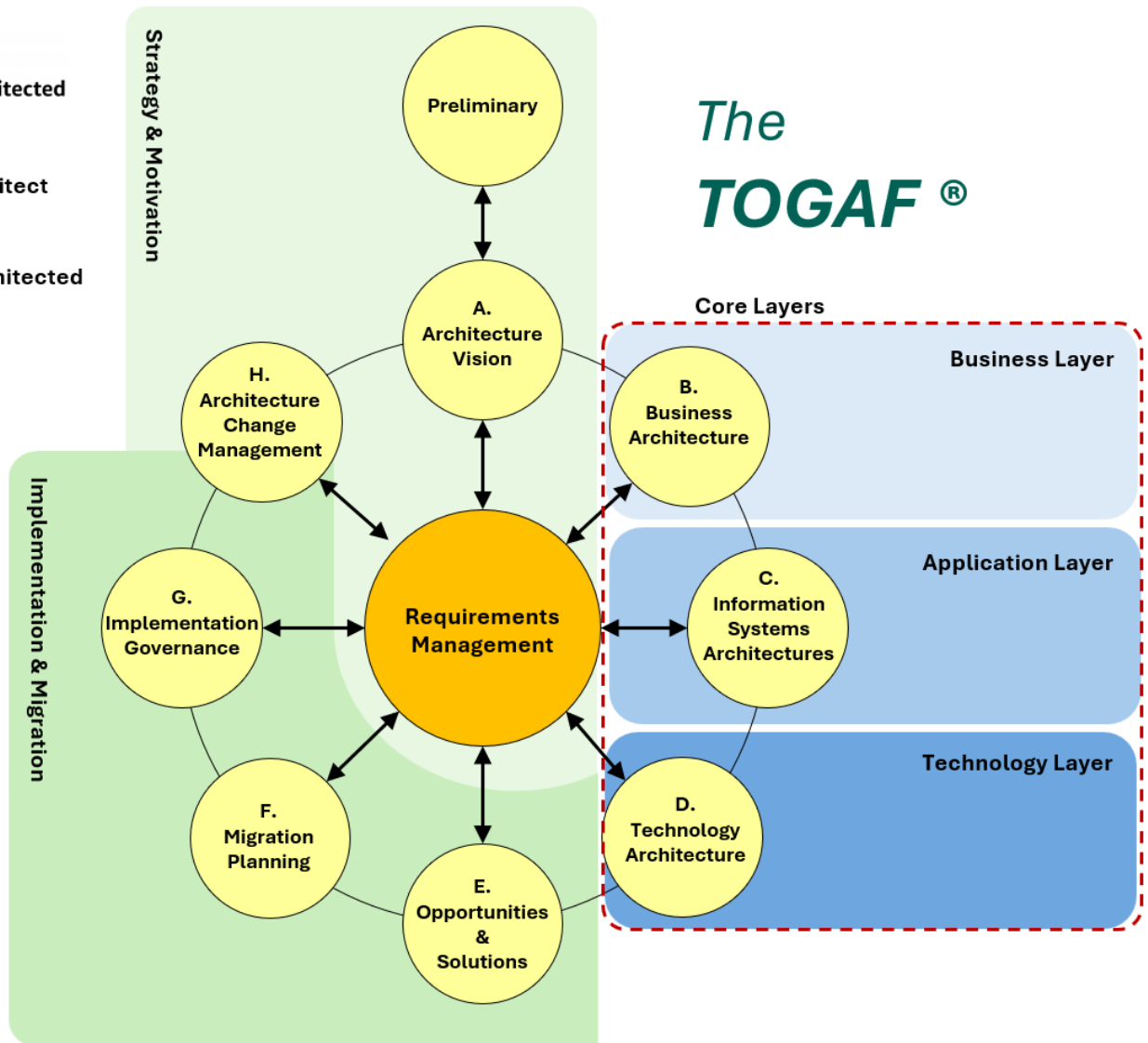


Figure 18 – TOGAF: TOGAF is a widely recognized, vendor-neutral enterprise architecture methodology that’s used globally, including by many government entities.

These frameworks complement each other without overlap conflicts. TOGAF provides the architectural blueprint (what to build), ITIL 4 handles service operations (how to deliver and support), and CMMI ensures process maturity (how to improve sustainably). Research from MIT Sloan and industry mappings (e.g., COBIT integrations) shows that combining them creates an “Architecture-to-Operations Continuum,” where strategy flows seamlessly into execution. For local governments, this integration enhances governance and supports aligned standards for efficiency and compliance. In St. Helena’s context, it addresses siloed systems, supports strategic partnerships (e.g., shared IT roles), and enables data-driven decisions via dashboards.

Benefits:

- **Strategic Alignment:** Ensures IT investments support the City Strategic Plan, prioritizing resident needs and cost savings (e.g., 20–40% from shared services).
- **Operational Efficiency:** ITIL 4’s practices streamline incident response and service requests, while CMMI reduces waste through defined processes.

- **Risk Reduction:** TOGAF’s governance mitigates cybersecurity threats; integrated audits enhance FWA controls.
- **Scalability and Innovation:** Facilitates AI integration, cloud adoption, and maturity growth, positioning the City for resilient, future-proof IT.
- **Measurable Outcomes:** KPIs from CMMI feed into dashboards, demonstrating ROI and building public trust.

Implementation Approach

Led by the newly hired IT Manager, the integration of TOGAF, ITIL 4, and CMMI V3.0 should unfold in a realistic, phased manner over 4–18 months (phases 1-2). This timeline accounts for St. Helena’s small IT department, limited resources, reliance on external support (e.g., Apex Technology Management), and the need to minimize disruption to daily operations while building internal capability. Training from the recommended program will be essential throughout, starting with foundational sessions to build awareness and progressing to role-specific deep dives. The HR Manager can coordinate with the IT Manager on these needs.

1. **Preparation (Months 1–6):** Conduct a comprehensive IT “as-is” assessment using CMMI appraisals to baseline current capabilities (currently Level 1–2 in many areas). Train staff on framework fundamentals—leveraging free or low-cost resources from The Open Group (TOGAF introductory modules), AXELOS (ITIL 4 guiding principles), and CMMI Institute materials. Map existing processes (e.g., incident handling, change requests, and records management) against the frameworks to identify quick-win gaps and prioritize high-impact areas like post-ransomware recovery and cloud migration. Establish a small IT Governance Committee (IT Manager, department leads, Apex liaison) for oversight and buy-in.
2. **Architecture Development (Months 7–12):** Apply a tailored subset of TOGAF’s Architecture Development Method (ADM) to create an enterprise architecture roadmap. Focus on key phases: Architecture Vision (aligning IT to the City Strategic Plan), Business Architecture (documenting resident-facing services), and Technology Architecture (planning cloud transitions). Incorporate ITIL 4 practices for service design (e.g., value streams) and CMMI for establishing process baselines. Pilot the approach in high-priority domains, such as records management following RIMS cloud replacement, to demonstrate value and refine the model without overwhelming the team.
3. **Service Management Integration (Months 13–18):** Embed ITIL 4’s Service Value System (SVS) into day-to-day operations, including guiding principles like “focus on value” and “collaborate and promote visibility.” Align these with TOGAF architectures to ensure consistent service delivery. Use CMMI to define and document processes, measure performance (e.g., incident resolution time, uptime), and target Level 2 (Managed) certification as an interim milestone. Roll out training on ITIL 4 practices like incident management and continual improvement, integrating them with RASCI matrices for clear accountability.
4. **Maturity Optimization (Months 19+):** Institutionalize integrated practices to achieve CMMI Level 3 (Defined), where processes are standardized, documented, and repeatable across the organization. Conduct annual maturity reviews and audits, feeding results into the City Council Executive Dashboard for visibility and accountability. Leverage dashboards for real-time KPIs (e.g., service availability >99%, reduced manual rework) to drive continual improvement. Expand to advanced integrations, such as AI-enabled monitoring, while maintaining scalability for a small team—potentially through regional partnerships or shared services.

This integrated approach will transform St. Helena’s IT from reactive to proactive, delivering efficient, secure, and value-driven services that honor community needs.

6.17. Knowledge Management Systems (A.17)

Knowledge Management System (KMS) (A.17) is a Phase 1 initiative to capture, organize, and make accessible the City’s institutional knowledge (See **Figure 19**). In a small municipality like St. Helena, where staff turnover, limited resources, and reliance on individual expertise create risks of knowledge loss, a centralized KMS is essential for preserving continuity, accelerating decision-making, and supporting transformation efforts such as business process reengineering, policy adherence, and FWA mitigation.

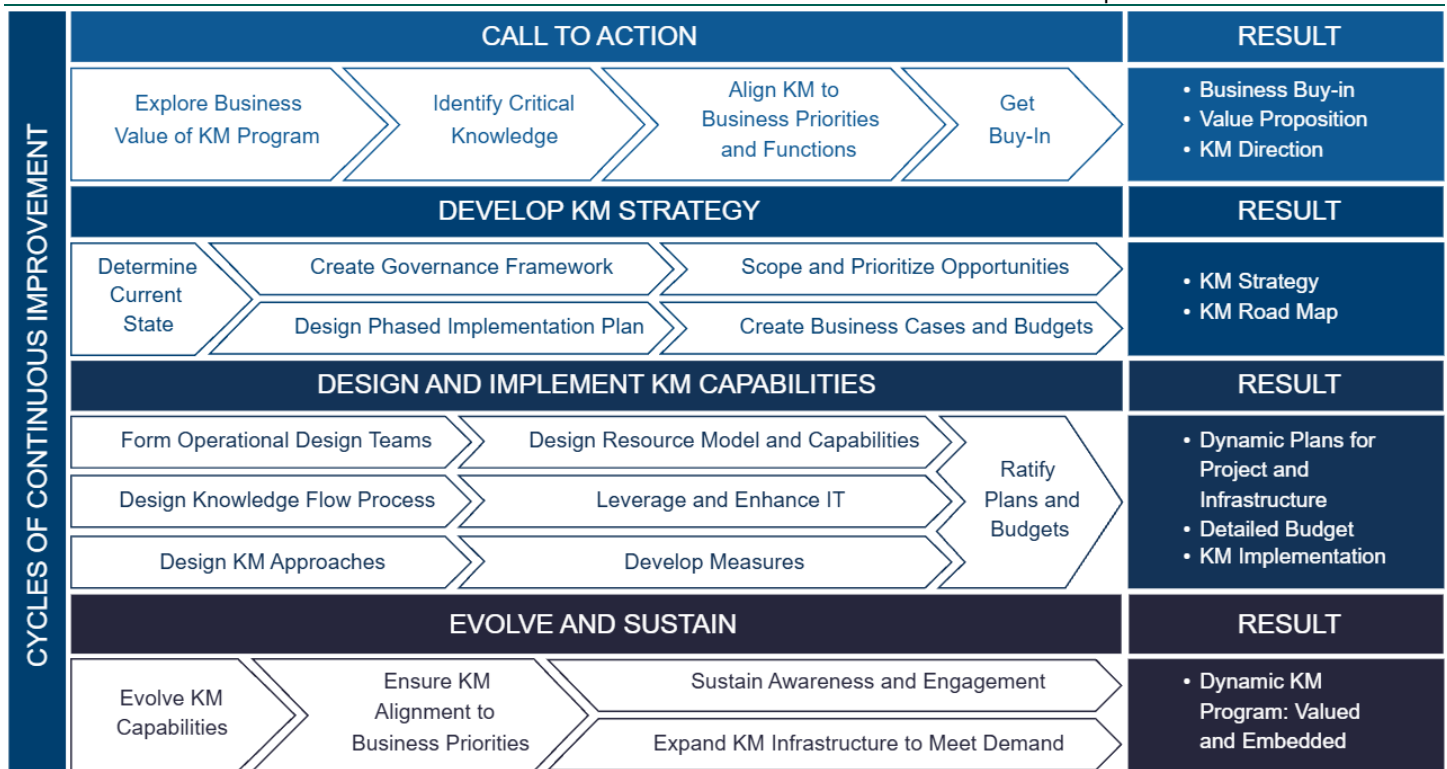


Figure 19 – Knowledge Management Strategic Framework: This strategic framework comes from the American Productivity & Quality Center which has many free resources that would be useful for the City.

A robust KMS serves as a single, searchable repository for policies, procedures, historical records, lessons learned, training materials, and operational insights. It addresses current challenges: fragmented documentation, reliance on email or personal drives, and difficulties in onboarding new staff or recovering from disruptions (e.g., post-2024 ransomware). By centralizing knowledge, the system enables quick retrieval, reduces duplication, and fosters collaboration across departments.

Core Features and Alignment:

- **Centralized Repository:** Store all policies, RASCI matrices, process diagrams (As-Is/To-Be), training resources, and audit trails in one secure, cloud-based platform (integrated with future RIMS cloud replacement (optional based on security concerns per Police Department Leadership guidance) and ITIL 4 governance).
- **Search and Accessibility:** Implement intuitive search, tagging, and categorization (e.g., by department, topic, or process) with role-based access controls to protect sensitive information while enabling broad use.
- **Knowledge Capture and Sharing:** Use tools like wikis, templates, and contribution workflows to encourage staff input. Include mechanisms for capturing lessons from projects, audits, or incidents.
- **Version Control and Auditability:** Ensure document history, approvals, and change logs support compliance, FWA controls, and continuous improvement.
- **Integration:** Link to executive dashboards for real-time insights and the Talent Management System for training alignment.

Benefits:

- **Efficiency Gains:** Reduces time spent searching for information or recreating work, supporting maturity progression to CMMI Level 3.
- **Risk Reduction:** Preserves expertise during transitions and enhances FWA detection through documented controls.

- **Resident Trust:** Enables consistent, transparent service delivery and faster responses to public inquiries.
- **Cultural Shift:** Promotes knowledge sharing, collaboration, and a learning organization.

Implementation Approach: Led by the IT Manager and Human Resources Manager, development should begin in Phase 1 (Months 1–12). Start with a needs assessment: inventory existing knowledge sources and conduct staff surveys to identify high-value content. Select a scalable, user-friendly platform (e.g., cloud-based tools like SharePoint, Confluence, or government-focused solutions) with strong search and security features. Pilot with priority areas—policies, BPR outputs, and FWA guidelines—before full rollout.

Provide training on contribution and usage, integrated into the broader Training Program. Establish governance: assign content owners, set update protocols, and tie maintenance to continuous quality improvement. Budget modestly (\$30–60K initially for licensing and setup), leveraging potential regional partnerships for cost sharing.

By prioritizing a Knowledge Management System early, St. Helena will safeguard its intellectual capital, empower staff, and lay a foundation for sustainable, efficient governance that serves residents effectively.

6.18. Records Digitization (A.18)

Records Digitization (A.18) is a recommendation in Phase 1 to modernize the City’s information management. Currently, many municipal records exist in hard copy format, stored in filing cabinets, boxes, or off-site locations. This paper-based system creates inefficiencies, security risks, accessibility barriers, and vulnerability to damage or loss (e.g., from floods, fire, or degradation over time).

Digitizing these records converts physical documents into searchable, secure digital formats using scanning, optical character recognition (OCR), indexing, and metadata tagging. This initiative aligns directly with broader transformation priorities: cloud migration (e.g., RIMS replacement), Knowledge Management System development, enhanced FWA controls through auditable trails, and improved resident service delivery via self-service access.

Key Benefits:

- **Efficiency and Accessibility:** Staff can retrieve documents instantly, reducing search time from hours to seconds and eliminating physical handling. Residents gain online access to public records (e.g., via portals), improving transparency and satisfaction.
- **Cost Savings:** Reduces storage space needs, lowers off-site archiving fees, reduces search and retrieval time (i.e. City Clerk) and minimizes printing/copying expenses. Long-term, it supports paperless workflows and automation.
- **Risk Mitigation:** Digital backups and encryption protect against loss or damage. Immutable audit logs strengthen FWA detection by tracking access and changes.
- **Compliance and Preservation:** Meets California Public Records Act requirements for timely access while preserving historical documents indefinitely without physical deterioration.
- **Integration Enablement:** Digitized records feed into the Knowledge Management System, executive dashboards, and future AI tools for analytics or anomaly detection.

Implementation Approach: Led by the IT Manager in coordination with department heads and the Human Resources Manager (for training), begin in Phase 1 (Months 6–12). Conduct a records inventory and prioritization assessment: classify documents by volume, sensitivity, usage frequency, and legal retention requirements (e.g., vital records first, then administrative). Partner with a professional digitization vendor experienced in municipal records (e.g., for secure scanning, OCR accuracy >98%, and indexing).

Phased rollout:

- Pilot high-volume, high-impact areas (e.g., permitting or finance files) to test workflows.
- Scan using high-speed, secure equipment; apply OCR for searchability; tag with metadata (date, department, type).
- Store in a secure cloud repository integrated with emerging systems.
- Provide staff training on digital workflows and search tools.

Budget modestly (\$10-20K, depending on volume), potentially offset by grants (e.g., for historical preservation). Establish governance: assign custodians, set quality standards, and include annual audits. Tie progress to dashboards for visibility.

By prioritizing records digitization, St. Helena will eliminate paper bottlenecks, enhance operational resilience, and deliver modern, efficient services that rebuild community trust and support long-term maturity growth.

6.19. Dashboard Development (A.19)

Dashboard Development (A.19) is a Phase 1 initiative that compliments the records digitization and knowledge management system and enables data-driven oversight, performance tracking, and informed decision-making across City operations. In a resource-constrained small municipality like St. Helena, where data is often siloed in spreadsheets, legacy systems, or manual reports, initial dashboard capabilities will consolidate key metrics into clear, visual formats—reducing time spent on manual analysis and improving visibility into operational health.

Focus the initial phase on building foundational departmental and operational dashboards before expanding to higher-level executive views. This approach leverages existing data sources (e.g., financial records, permitting systems, public works logs) and aligns with broader goals like cloud migration, process reengineering, FWA mitigation, and policy adherence monitoring. The dashboards are critical for ensuring the processes developed in business process reengineering are followed and monitored.

Core Objectives for Initial Development:

- Deliver actionable insights at the departmental level to support daily management and quick identification of issues.
- Establish reliable data pipelines and visualization standards for scalability.
- Track transformation progress, such as BPR milestones, training completion, and efficiency gains.
- Foster a data-informed culture by demonstrating immediate value through simple, accurate metrics.

Key Features for Initial Dashboards:

- **Operational KPIs:** Monitor service delivery metrics (e.g., permitting processing times, public works response rates, utility service requests), financial indicators (e.g., budget variances, invoice processing cycles), and compliance signals (e.g., policy update status, training participation rates).
- **Visual Elements:** Use intuitive charts (bar, line, gauge), traffic-light indicators (green/yellow/red status), trend lines, and basic drill-down for details.
- **FWA and Control Monitoring:** Include exception alerts for anomalies like unapproved changes, duplicate payments, or threshold breaches to support early detection.
- **User-Friendly Design:** Role-based access (department heads see relevant views), mobile compatibility, and simple filters for ease of use.

Implementation Approach: Led by the IT Manager with input from department leads, begin in Phase 1 (Months 3–12). Conduct a rapid data inventory: identify accessible sources, prioritize 8–12 high-value metrics aligned with strategic priorities, and assign data stewards for accuracy and timeliness.

Select accessible, low-code tools (e.g., Microsoft Power BI, Google Data Studio/Looker Studio, or government-oriented platforms) that support secure cloud integration, automated refreshes, and minimal IT overhead. Start with a pilot in one or two departments (e.g., Finance or Public Works) using existing data feeds to build and test prototypes. Gather user feedback through short workshops to refine layouts and add needed views.

Provide targeted training on dashboard usage and interpretation, integrated into the broader Training Program. Establish basic governance: define refresh schedules (daily/weekly), data quality checks, and a process for adding new metrics.

Budget modestly (\$5–8K initially for licensing, setup, and training). Track adoption and impact (e.g., time saved on reporting, issues identified early) to demonstrate ROI and justify expansion.

This initial development creates tangible benefits—faster insights, reduced manual effort, and stronger accountability—while building technical and cultural readiness for more advanced dashboards. It positions St. Helena to evolve from reactive management to proactive, evidence-based governance that enhances efficiency and resident trust.

6.20. Change Management System (A.20)

A **Change Management System (A.20)** is a high priority item that should be established early in Phase 1 and carried forward through all subsequent phases. Large-scale transformation initiatives—business process reengineering, cloud migration, new management systems, organizational restructuring, and major shifts in culture and accountability—create significant disruption for staff, departments, and residents. Without a structured, repeatable change management system, these efforts are at high risk of delayed adoption, resistance, rework, reduced morale, and ultimately failure to deliver intended benefits.

A formal Change Management System provides a consistent framework for planning, communicating, supporting, and sustaining change across the organization. It treats change as a disciplined process rather than an ad-hoc activity, significantly increasing the probability of successful implementation.

Core Components of the Recommended System:

- **Structured Change Framework** — Adopt a proven model(s) (e.g., Prosci ADKAR (See **Figure 20**), Kotter 8-Step Process (See **Figure 21**), or a hybrid tailored to small government) that includes clear phases: awareness of need, desire to participate, knowledge of how to change, ability to demonstrate new skills/behaviors, and reinforcement to make change stick.
- **Change Impact Assessment** — Require every major initiative to complete an impact analysis identifying who is affected, how significantly, and what support will be needed.
- **Stakeholder Engagement & Communication Plan** — Create tailored communication strategies (timing, channels, messages) for different audiences: staff, leadership, City Council, residents, and external partners.
- **Resistance Management** — Build proactive strategies for identifying and addressing resistance, including listening sessions, feedback loops, and targeted support for high-impact groups.
- **Training & Support Integration** — Link change initiatives directly to the Training Program so that skill-building occurs at exactly the right time.
- **Sponsorship & Leadership Alignment** — Require visible, active sponsorship from City Manager and department heads.
- **Measurement & Reinforcement** — Define adoption metrics (e.g., usage rates of new processes/systems, employee feedback scores, speed of transition) and track them in dashboards. Establish reinforcement mechanisms (recognition, policy updates, ongoing communication).

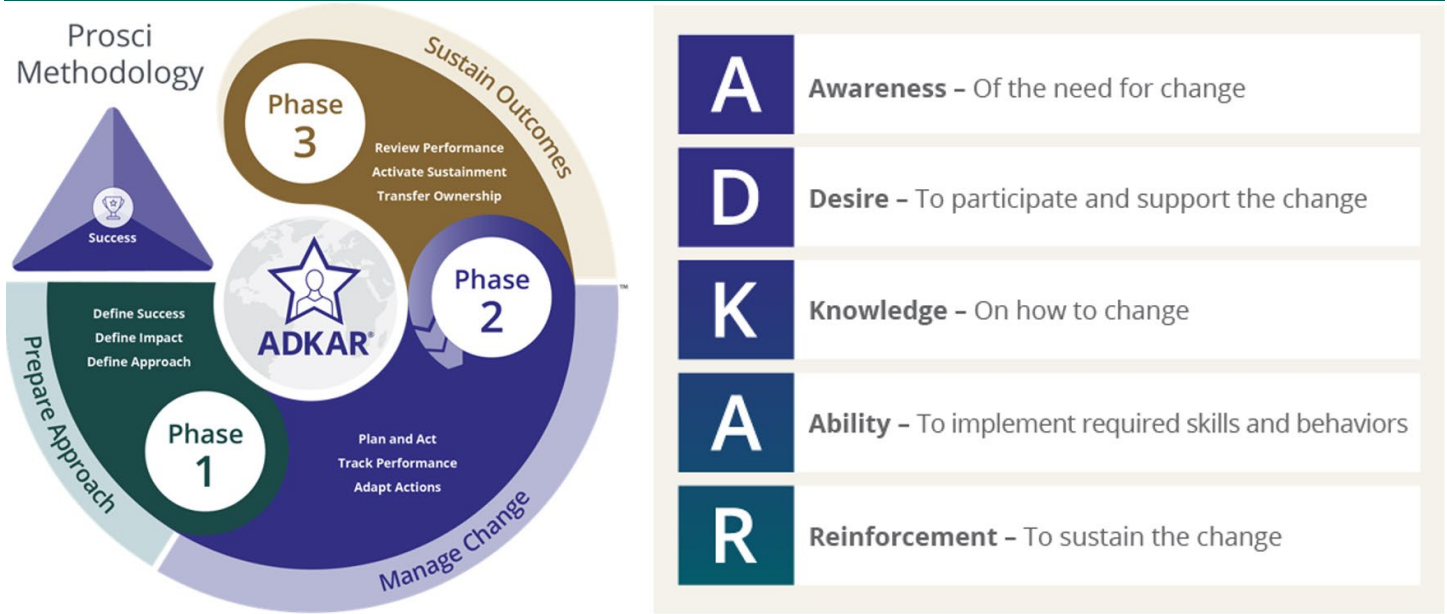


Figure 20 – ADKAR Model of Change Management: Guides organizations and individuals through change by addressing emotional and practical barriers step-by-step.

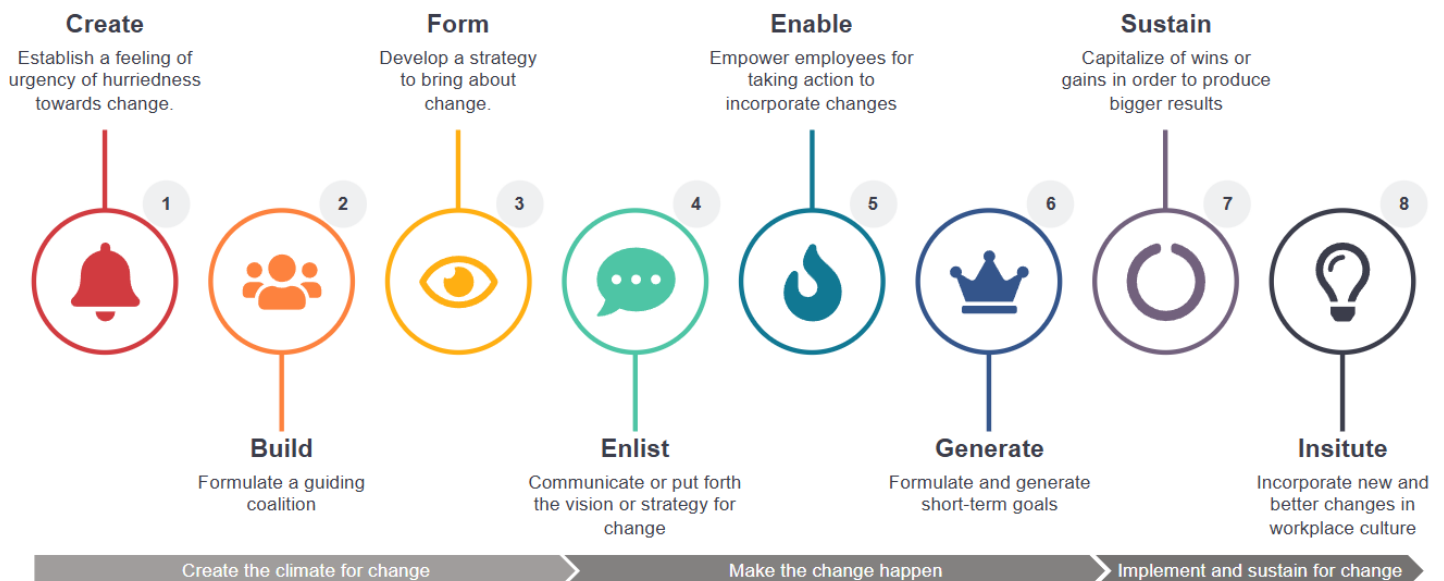


Figure 21 – Kotter 8-Step Process: Create urgency, build coalitions, vision, communicate, empower action, generate wins, consolidate gains, anchor changes—drives successful organizational transformation.

Implementation Approach: Led initially by the new HR Manager in close partnership with the IT Manager, begin development in early Phase 1 (Months 1–3).

- Start with a lightweight, practical framework that can be applied immediately to the highest-priority changes (RIMS cloud migration, initial BPR projects, new roles onboarding).
- Create simple templates and toolkits (impact assessment, communication plan, ADKAR checklist).
- Train a small internal change agent network (5–8 people across departments) to support initiatives.

- Integrate change management requirements into the project governance process so no major initiative proceeds without a change plan.

Benefits:

- Dramatically improves adoption rates and speed of realizing benefits
- Reduces resistance, frustration, and productivity dips
- Protects staff morale during a period of significant change
- Increases likelihood of sustaining improvements long-term
- Builds organizational change capability for future initiatives

A well-executed Change Management System is not optional infrastructure; it is a fundamental enabler of the entire transformation program. Establishing it early creates the conditions for every other recommendation to succeed.

6.21. Governance and Policy Framework Design (A.21)

Governance and Policy Framework Design (A.21) is a foundational Phase 1 priority, to be followed by **Implementation** in later step in Phase 1. In a small city like St. Helena, where governance has historically relied on informal practices and limited formal structures, the absence of a clear, unified framework contributes to inconsistencies in decision-making, policy application, accountability gaps, and challenges in executing transformation initiatives. A well-designed governance and policy framework establishes clear rules, roles, responsibilities, and oversight mechanisms—ensuring alignment with the City Strategic Plan, supporting FWA mitigation, and enabling efficient, transparent operations.

This framework serves as the “operating system” for City government, codifying how decisions are made, policies are created/updated/reviewed, and accountability is maintained. It addresses vulnerabilities identified in current processes—such as fragmented policy management, unclear authority, and limited oversight—while promoting a culture of compliance, ethical conduct, and resident-centered governance.

Core Elements of the Recommended Framework:

- **Governance Structure:** Define clear decision-making hierarchies, including roles for City Council, City Manager, department heads, and cross-functional committees. Incorporate RASCI matrices to assign responsibilities explicitly for key processes and initiatives.
- **Policy Lifecycle Management:** Establish standardized procedures for policy creation, review, approval, dissemination, training, monitoring, and periodic refresh (e.g., every 3–5 years or as needed). Require impact assessments, stakeholder input, and alignment with legal/compliance requirements (California codes, public records laws).
- **Centralized Policy Register:** Mandate a single, searchable repository (integrated with the Knowledge Management System) for all active policies, versions, effective dates, owners, and status—ensuring accessibility and version control.
- **Oversight & Compliance Mechanisms:** Build in monitoring tools (e.g., dashboards tracking adherence, exceptions, and refresh cycles), annual policy audits, and escalation protocols for violations.
- **Ethical & Accountability Standards:** Embed principles of transparency, conflict-of-interest disclosure, and anti-retaliation protections to reinforce FWA controls and public trust.
- **Integration with Transformation:** Ensure the framework supports BPR, IT governance (TOGAF/ITIL/CMMI), talent management policies, and change management by requiring governance alignment for major changes.

Benefits:

- Reduces risks of inconsistent application or outdated policies that lead to errors, waste, or legal exposure.
- Enhances accountability and oversight, directly supporting FWA prevention through documented controls and monitoring.
- Provides clarity for staff, leadership, and Council, accelerating decision-making and transformation adoption.
- Demonstrates commitment to good governance, rebuilding resident confidence in City operations.

Implementation Approach: Led by the City Manager with support from the new Human Resources Manager and IT Manager, begin design in early Phase 1 (Months 1–9). Form a small cross-functional working group (including department leads and legal counsel) to map current governance practices and policies, benchmark against leading small-city models (e.g., California League of Cities resources), and draft the framework. Prioritize high-risk areas (finance, procurement, ethics) for initial policies. Use workshops for input and buy-in.

Target draft framework completion within 6–9 months, followed by Council review/approval. Store in the centralized Policy Register and link to dashboards for ongoing tracking. Provide training on the new framework as part of the broader program. By developing a robust Governance & Policy Framework early, St. Helena will create the structural foundation needed for all other transformation elements to succeed—ensuring consistent, accountable, and effective government that serves residents well into the future.

6.22. Governance and Policy Framework Implementation (A.22)

Following the design step in early Phase 1, the **Governance and Policy Framework Implementation (A.22)** represents the critical transition from planning to action, embedding the newly defined governance structure and policy lifecycle into daily City operations. This step ensures that the framework moves from document to practice, creating consistent decision-making, accountability, and compliance across departments. For St. Helena, where informal processes have historically led to inconsistencies and oversight gaps, successful implementation will institutionalize transparency, support FWA mitigation, and enable all transformation initiatives to operate within a clear, unified structure.

Implementation must be deliberate, phased, and supported by leadership commitment to avoid the common pitfall of frameworks remaining on paper. It builds directly on the design deliverables—clear roles via RASCI, a standardized policy lifecycle, centralized Policy Register, and oversight mechanisms—turning them into living practices.

Key Implementation Steps:

- **Rollout and Communication (Months 9–12):** Launch with a formal announcement from the City Manager and Council resolution adopting the framework. Conduct all-staff town halls, department briefings, and targeted sessions to explain changes, benefits, and expectations. Provide simple one-pagers and FAQs for quick reference.
- **Training and Capacity Building (Months 10–15):** Integrate framework training into the broader Training Program. Require mandatory sessions for all employees on policy lifecycle, decision authority, and compliance responsibilities. Train department heads and supervisors on using RASCI in practice and monitoring policy adherence. Include scenario-based exercises to build confidence in applying the framework.
- **Policy Register Activation (Months 10–18):** Migrate all existing policies into the centralized, cloud-based register (integrated with the Knowledge Management System). Assign policy owners to review, update, and certify documents. Establish automated reminders for review cycles and version control.
- **Governance Activation (Months 12–18):** Operationalize decision-making bodies and committees (e.g., cross-functional review groups for major changes). Require RASCI matrices for all new projects and processes. Begin tracking key decisions against the framework in meeting minutes and reports.

- **Monitoring, Enforcement, and Continuous Improvement (Ongoing from Month 12):** Deploy dashboard tracking for policy refresh status, compliance exceptions, and training completion. Conduct initial compliance audits (internal or third-party) within the first year. Establish an escalation process for violations and a feedback mechanism for refinement. Tie annual performance reviews to framework adherence.
- **Integration with Other Initiatives:** Require governance alignment for BPR projects, IT changes (TOGAF/ ITIL/ CMMI), and new systems. Embed framework requirements in change management plans to ensure major shifts follow approved processes.

Benefits of Effective Implementation:

- Creates consistent, defensible decision-making and reduces risks of ad-hoc actions.
- Strengthens FWA controls through documented authority and auditable processes.
- Builds organizational discipline and accountability, supporting maturity growth.
- Demonstrates to residents and stakeholders a commitment to professional, transparent governance.

Resources and Support: Led by the City Manager with support from the Human Resources Manager (training/compliance) and IT Manager (tools/register). Allocate modest budget for training, communication materials, and initial audits (~\$1–3K). Leverage the Change Management System to address resistance and secure buy-in.

By prioritizing thoughtful, phased implementation, St. Helena will transform the governance and policy framework from a design artifact into a powerful driver of efficiency, integrity, and sustained transformation success—ultimately delivering more accountable, effective government for the community.

6.23. Program Management Office (A.23)

To drive the recommendations from the Blackberg Group’s Efficiency and Business Transformation Study, the City of St. Helena should establish a Program Management Office (PMO). This office will centralize coordination of the multi-phase Transformation Roadmap, including strategic planning, business process reengineering (BPR), IT modernization, and governance enhancements. The PMO must be efficient, focused on high-priority Phase 1 actions, and integrated with existing structures like enhanced City Council oversight. We recommend the following steps to establish the PMO:

1. **Secure Buy-in and Charter (Preparation).** Obtain approval from City Council and the City Manager. Develop a PMO Charter outlining objectives: oversee implementation of the Capital Improvement Projects, City Strategic Plan, RASCI Matrix, Fraud/Waste/Abuse (FWA) mitigation, Customer-Centered Design, and initial BPR (Maturity Level 2) etc. Define scope, authority, reporting to the City Manager and City Council, risk management protocols, and alignment with the Governance & Policy Framework. Tie it to lever points for maximum impact.
2. **Adopt PMI Best Practices.** Structure the PMO using PMI’s Program Management Offices: A Practice Guide and PMBOK principles to standardize processes, define clear governance, and track performance with maturity assessments, ensuring consistent, value-driven delivery across transformation initiatives.
3. **Staffing and Structure.** Follow strategic hiring recommendations. Appoint a dedicated Program Manager (potentially new position) supported by the recommended IT Manager and Human Resources Manager. Start small (2-4 staff or part-time equivalents) and use strategic partnerships for specialized expertise in TOGAF, ITIL 4, and CMMI. Utilize RASCI to clarify responsibilities across departments.
4. **Phased Implementation and Monitoring.** Prioritize Phase 1 high-priority items: strategic plan, FWA engagement, As-Is process mapping, talent management system, and dashboard development. Establish milestones, budgets, and continuous quality improvement cycles. Provide monthly reports via dashboards to Council. Scale to Phase 2 (Public Works focus, automation) and Phase 3 (full management systems integration) based on progress.

5. **Training and Sustainability.** Roll out the recommended Training Program and talent management policies. Foster a culture of continuous improvement and customer focus. Conduct regular maturity assessments and adjust based on sensitivity analysis from financial efficiency reviews.

A well-designed PMO will ensure accountability, minimize duplication, accelerate efficiency gains (as projected in financial deliverables), and enhance resident trust through transparent transformation. Estimated initial setup: 3-6 months with strong executive support.

7.0 Recommendations – Phase 2

7.1. City Accountant (B.1)

The Efficiency and Business Transformation Study, particularly Deliverables 3A (Organizational Structure and Staffing Component) and 3C (Process Improvement and Efficiency Potential), highlights critical gaps in Administrative Services, especially within accounting. Current staffing in Administrative Services relies on generalist roles and outsourced support, leading to manual reconciliations, integration challenges with tools like Springbrook and OpenGov, and backlogs that contribute to inefficiencies and heightened FWA risks. Deliverable 3C notes that accounting processes tie into many departments, with potential for significant efficiency gains through integration and automation, estimating up to \$625,000 in annual savings from staffing reallocations and process improvements—savings that require stronger internal accounting leadership.

Strategic hiring of a dedicated **City Accountant** (recommended for Phase 2) addresses these vulnerabilities by bringing specialized accounting expertise to oversee financial controls, process integration, automation, and compliance. This role would report to the Administrative Services Director and serve as the technical lead for accounting operations, ensuring accurate financial reporting, budgeting, timely reconciliations, and robust internal controls.

Rationale and Alignment with Deliverables:

- **Deliverable 3A** recommends restructuring Administrative Services to enhance accounting oversight, including shifting resources (e.g., reassigning a Public Works Financial Analyst) and creating specialized positions to reduce reliance on external support and improve accountability.
- **Deliverable 3C** emphasizes accounting as a high-leverage area: processes cross multiple departments, manual workflows create waste, and automation opportunities (e.g., AI-enabled reconciliations) remain untapped. A City Accountant would lead these integrations, support FWA mitigation through segregation of duties and audit trails, and align with broader goals like cloud migration and continuous quality improvement.

Key Responsibilities:

- Oversee and execute day-to-day accounting operations, including general ledger maintenance, accounts payable/receivable, payroll integration, and financial statement preparation.
- Implement and monitor internal controls to prevent FWA, such as dual approvals for transactions over thresholds and automated exception reporting.
- Coordinate with IT for SaaS tool optimization (e.g., Springbrook/OpenGov integration) and future AI solutions for anomaly detection and automation.
- Lead budgeting, forecasting, and compliance with California financial reporting standards.
- Train staff and collaborate with the Human Resources Manager on talent development in accounting.

Hiring Strategy: Recruit nationally, targeting candidates with municipal finance experience, CPA certification required, a bachelor's or master's degree in accounting required, and expertise in government accounting (GASB standards), accounting IT systems, and process automation. Competitive salary aligned with market adjustments recommended in 3C (to attract/retain talent). From a strategic hiring perspective, this individual should have interest in advancing to Administrative Director and/or City Manager with career progression. Begin recruitment in Phase 1 post-HR Manager hiring, with onboarding tied to the Training Program and Change Management System.

Development and Integration: Once hired, the City Accountant will integrate into the Governance & Policy Framework (policy lifecycle for financial procedures) and RASCI matrices (clear accountability). Outputs will feed the City Council Executive Dashboard (e.g., financial KPIs, control metrics) and support BPR (To-Be designs for accounting workflows). This role accelerates maturity to CMMI Level 2 and 3 by establishing repeatable financial processes.

7.2. FWA Control Recommendations (B.2)

The Efficiency and Business Transformation Study, through Deliverables 3A (Organizational Structure and Staffing Component) and 3C (Process Improvement and Efficiency Potential), underscores the need to integrate FWA findings into Administrative Services' accounting operations. Deliverable 3A identifies staffing gaps in Finance, with reliance on manual processes leading to vulnerabilities like inadequate segregation of duties and poor oversight. Deliverable 3C highlights accounting as a high-leverage area, where fragmented workflows across departments contribute to inefficiencies and elevated FWA risks—estimating \$625,000 in potential annual savings through integration, automation, and stronger controls.

To address these, integrate FWA findings by embedding preventive and detective measures into core accounting processes and systems. Start with process reengineering: Update As-Is diagrams to incorporate FWA red flags (e.g., unmonitored vendor payments, manual reconciliations) and redesign To-Be flows with built-in controls like automated three-way matching for invoices and dual approvals for disbursements over thresholds (or whatever recommendations come from the FWA engagement). Align with the Governance & Policy Framework by mandating policy updates for financial procedures, ensuring all accounting activities adhere to RASCI-defined roles for accountability.

On the systems side, leverage the IT modernization (TOGAF/ITIL 4) to integrate AI-driven anomaly detection in tools like Springbrook and OpenGov—flagging irregularities such as duplicate payments or unusual overtime. Implement continuous monitoring via dashboards, tracking FWA metrics (e.g., exception rates, audit findings) for real-time visibility.

Led by the new City Accountant, this integration should begin in Phase 2. Conduct FWA-specific training for Finance staff, tied to the Talent Management System, and pilot in high-risk areas like payroll. This approach mitigates risks, unlocks \$200,000+ in annual efficiencies (per 3C), and strengthens resident trust through transparent, resilient accounting—positioning Administrative Services as a model for citywide maturity growth.

7.3. Accounting Focus for BPR (B.3)

Accounting processes represent a high-leverage focus area for Business Process Reengineering (BPR) in the City of St. Helena. Deliverable 3C (Process Improvement and Efficiency Potential) explicitly states that “accounting ties into many processes in other departments,” creating a natural nexus for integration and automation. These cross-departmental linkages mean that inefficiencies, manual handoffs, and control gaps in accounting ripple outward, contributing to waste, delayed decision-making, and elevated FWA risks across Public Works, Community Development, Administrative Services, and beyond.

In the current state (Deliverable 2), accounting relies heavily on manual reconciliations, fragmented SaaS tools (e.g., Springbrook for financials, OpenGov for budgeting), and limited internal expertise, resulting in backlogs, error-prone data entry, and inadequate real-time visibility. Deliverable 3A (Organizational Structure and Staffing Component) reinforces this by recommending specialized staffing in Administrative Services to strengthen financial oversight and reduce reliance on

generalists or external support. Without targeted BPR in accounting, the City cannot fully realize the estimated \$625,000 in annual efficiency gains identified in 3C through staffing reallocations, process streamlining, and automation.

Recommended Accounting-Focused BPR Priorities:

These are natural follow-on actions from the Phase 1 general BPR efforts that included accounting.

- **As-Is Mapping and Analysis:** Diagram end-to-end accounting workflows (e.g., accounts payable/receivable, payroll integration, budget development) using swimlane diagrams and SIPOC. Analyze for bottlenecks (e.g., manual invoice matching consuming 20–30% of Finance time) and FWA vulnerabilities (e.g., single-person approvals, weak vendor verification). Incorporate resident-centered design by evaluating how financial delays impact service delivery (e.g., delayed vendor payments affecting Public Works projects).
- **To-Be Redesign:** Reengineer processes for integration and automation. Implement automated three-way matching, dual approvals for transactions above thresholds, and AI-driven anomaly detection to flag duplicates or unusual patterns. Standardize cross-departmental handoffs (e.g., Public Works requisitions flowing directly into Springbrook) and align with governance through RASCI matrices for clear accountability. Focus on integration of FWA engagement recommendations.
- **System and Control Integration:** Coordinate with IT modernization (cloud migration, TOGAF/ITIL 4) to unify platforms and embed audit trails. Feed accounting metrics into dashboards for real-time monitoring of variances, compliance, and FWA indicators.
- **Staffing and Capacity:** Hire a dedicated City Accountant (as recommended in Phase 2) to lead these changes, oversee controls, and train staff. Leverage the Talent Management System and Training Program for skill-building in automated workflows and compliance.

Benefits:

- Unlocks cross-departmental efficiencies (e.g., 15–25% reduction in processing time).
- Strengthens FWA mitigation through preventive controls and continuous monitoring.
- Supports CMMI Level 2 maturity by establishing repeatable, measured accounting processes.
- Enhances transparency and fiscal stewardship, rebuilding resident trust.

Led by the new City Accountant, with oversight and support from the IT Manager, this accounting-focused BPR should begin in Phase 1 pilots (e.g., invoice processing) and scale organization-wide. By prioritizing accounting, the City creates a ripple effect of improved controls, reduced waste, and better-integrated services across all departments.

7.4. IT and AI Solutions for Integration and Automation (B.4)

The Efficiency and Business Transformation Study, particularly Deliverable 3C (Process Improvement and Efficiency Potential), positions accounting as a pivotal focus for Business Process Reengineering (BPR), noting its interconnections with other departments and potential for transformational gains through integration and automation. Deliverable 3A (Organizational Structure and Staffing Component) reinforces this by recommending specialized roles in Administrative Services to address manual workflows, which currently lead to inefficiencies, errors, and FWA vulnerabilities. Recommended IT and AI solutions will enable seamless data flows, real-time insights, and automated controls, advancing accounting BPR from As-Is manual processes to To-Be optimized workflows aligned with CMMI Level 2 maturity.

Key Recommended Solutions:

- **Cloud-Based ERP Integration:** Migrate to a unified cloud platform (e.g., enhanced Springbrook or NetSuite integration with OpenGov) for end-to-end accounting automation. This supports As-Is analysis by mapping fragmented data sources and To-Be design with automated reconciliations, reducing manual entry by 30–50% and enabling three-way invoice matching.

- **AI-Driven Anomaly Detection and Automation:** Deploy AI tools for predictive analytics in accounts payable/receivable and payroll. In BPR's To-Be implementation, AI can flag irregularities (e.g., duplicate payments or unusual vendor patterns) in real-time, tying into FWA mitigation and continuous quality improvement. Low-code platforms can automate routine tasks, such as expense approvals, integrating with RASCI-defined roles for accountability.
- **API and Middleware for Cross-Departmental Integration:** Use middleware to connect accounting with Public Works (asset tracking) and Community Development (permitting fees), ensuring data interoperability under TOGAF/ITIL 4 frameworks. This facilitates BPR's As-Is to To-Be transition by eliminating silos and supporting dashboards for monitoring metrics like budget variances.

Implementation Approach: Led by the IT Manager in close collaboration with the City Accountant, begin in Phase 2 (post-HR/IT hiring). Pilot AI in accounts payable (3–6 months), then scale. Budget \$50–80K initially for tools and training, offset by \$200,000+ annual savings from reduced errors and overtime (per Deliverable 3C estimates). Integrate with the Governance & Policy Framework for compliance policies and the Change Management System for staff adoption.

Benefits:

- Enhances efficiency, cutting processing times by 25% and supporting staffing reallocations.
- Strengthens FWA controls through automated audits and alerts.
- Advances BPR maturity with measurable, repeatable processes, feeding into executive dashboards for oversight.

This IT/AI integration transforms accounting from a bottleneck to an enabler of citywide efficiency, directly supporting resident trust and fiscal sustainability. It also provides the foundation needed to transition to Level 3 CMMI maturity.

7.5. Continue Business Process Reengineering (Maturity Level 3) (B.5)

This is the continuation of Business Process Reengineering (BPR) at Maturity Level 3 as a targeted Phase 2 effort, building on the foundational Level 2 achievements established in Phases 1 (A.10). At CMMI Level 2 (Managed), the City of St. Helena has focused on making processes repeatable within individual projects or departments—emphasizing planning, monitoring, and basic controls. Level 3 (Defined) shifts to organization-wide standardization, where processes are documented, tailored from a standard set, and proactively managed for consistency across the City. This progression ensures scalability, reduces variability, and supports certification, enabling sustained efficiency gains estimated at 20–30% in high-impact areas like public works and finance, as per the study's lever points.

Building off Level 2 efforts—where As-Is mappings identified bottlenecks, To-Be designs incorporated customer-centered principles, and implementations piloted automation—the Level 3 continuation refines these phases with a focus on institutionalization. It integrates with systems using TOGAF/ITIL 4 for architectural and service management alignment, and the Governance & Policy Framework (A.22) for standardized oversight. Key enablers include the City Accountant for financial process leadership, IT & AI solutions for automation, FWA integration for controls, and dashboards for measurement. The BPR team, now expanded to include strategic partners (A.3), will lead, with oversight from the enhanced City Council mechanisms (A.7). Timeline: 8–10 months post-Level 2 completion.

As-Is Diagramming

At Level 3, refine As-Is diagramming to create a standardized, organization-wide process repository rather than project-specific maps. Leverage Level 2 outputs (e.g., swimlane diagrams for permitting and budgeting) as baselines, but now apply a common notation standard (e.g., BPMN 2.0) across all departments. This ensures consistency and facilitates tailoring from a citywide process library.

Steps: Conduct a comprehensive review of Level 2 diagrams, incorporating updates from continuous quality improvement feedback. Use the Knowledge Management System (A.17) to store and tag diagrams with metadata (e.g., department, risk level, FWA controls). Integrate IT by linking to digitized records (A.18) and AI tools for automated diagram generation

from system logs. Involve the City Accountant to map financial interdependencies, such as payroll flows into public works budgeting.

Challenges: Variability from Level 2 pilots; mitigate with governance-mandated standards. Measures: 100% of core processes standardized in the repository within 3 months, with 90% alignment to customer-centered design journeys.

As-Is Analysis

Advance analysis to an organization-wide perspective, moving beyond Level 2's project-focused evaluations to comparative assessments across departments. Use Level 2 baselines (e.g., cycle times, error rates) to benchmark against industry standards (e.g., APQC metrics for municipal finance).

Steps: Employ advanced tools like process mining software (integrated via ITIL 4) to analyze system data for hidden inefficiencies. Incorporate FWA findings by quantifying risks (e.g., control gaps in vendor payments) and customer-centered feedback from surveys to evaluate resident impact (e.g., delays in service requests). The City Accountant will lead financial analyses, identifying cross-departmental waste like redundant reconciliations.

Integration: Tie to dashboards for real-time metrics and governance for policy compliance checks. Challenges: Data silos; address with IT solutions like API integrations. Measures: Identify 15–20% additional efficiency opportunities beyond Level 2, with risk scores reduced by 25%.

To-Be Design

At Level 3, To-Be design emphasizes tailoring from a standard process set, ensuring designs are adaptable yet consistent citywide. Build on Level 2's customer-centered prototypes by incorporating organization-level requirements, such as scalability for seasonal demands in public works.

Steps: Develop a City process reference model in the Knowledge System, using TOGAF for architectural alignment. Design To-Be flows with AI automation (e.g., predictive analytics for budgeting) and FWA controls (e.g., automated anomaly detection). The City Accountant will ensure financial designs integrate across departments, like linking procurement to asset management.

Involve strategic partners for best practices (e.g., shared services models). Challenges: Balancing standardization with flexibility; mitigate with governance reviews. Measures: 80% of designs certified as Level 3 compliant, with simulated 20% cost reductions.

To-Be Implementation

Implementation at Level 3 focuses on organization-wide rollout, with standardized training and change management to ensure adoption. Extend Level 2 pilots (e.g., accounting automation) to full deployment, using ITIL 4 for service transition.

Steps: Phased rollout starting with accounting (led by City Accountant), incorporating change plans from the Change Management System (A.20). Train staff via the Training Program (A.14), with RASCI updates for roles. Monitor via executive dashboards, adjusting for issues.

Integration: Use IT solutions for seamless deployment (e.g., cloud-based workflows) and governance for compliance audits. Challenges: Adoption resistance; address with talent policies for incentives. Measures: 90% adoption rate, 15% initial efficiency gains.

Continuous Quality Improvement

Embed CQI as a Level 3 practice, with organization-wide processes for measurement and refinement. Build on Level 2 feedback loops by standardizing PDCA cycles across departments.

Steps: Establish a CQI committee to review metrics quarterly, using dashboards for data (e.g., process variance, resident satisfaction). Integrate AI for predictive improvements and FWA monitoring. The City Accountant will oversee financial CQI, ensuring controls evolve.

Challenges: Sustaining momentum; mitigate with governance-mandated reviews. Measures: 10–15% annual process improvements, certification readiness assessed biannually.

Other Items for Level 3 Maturity

- **Comprehensive KPIs and Dashboards (A.19):** Expand initial dashboards to include Level 3 metrics (e.g., process consistency scores).
- **System Integration (B.4):** Use TOGAF to link BPR with management systems (e.g., Talent, Knowledge), ensuring holistic maturity.

This Level 3 BPR continuation integrates IT for automation/governance for standardization, advancing St. Helena toward resilient, efficient operations and CMMI certification—delivering sustained value to residents.

7.6. Staffing Efficiency Gains (B.6)

Achieving **CMMI Level 3 maturity** (Defined), in some department processes, represents a significant milestone for the City. It represents shifting from project-specific repeatability (Level 2) to organization-wide standardized, documented, and proactively managed processes. This level of maturity institutionalizes consistent practices across departments, reducing variability and enabling predictable performance.

Staffing efficiency gains at Level 3 refer to the City’s ability to provide the same or improved service levels through better use of existing staff capacity. These gains result from streamlined workflows, fewer manual handoffs, reduced rework, and clearer accountability. Standardized processes eliminate redundant efforts (e.g., manual reconciliations in Finance or siloed handoffs in Public Works), freeing staff time for higher-value tasks. Automation and integration (e.g., AI-driven anomaly detection in accounting) further minimize manual intervention, while defined roles via RASCI matrices help prevent duplication, confusion, and workload imbalance.

Quantitative benchmarks from CMMI-adopting organizations (including government entities) indicate typical gains of 20–35% in productivity and cycle time reductions, with rework decreasing by 25–30%. For St. Helena, this translates to meaningful staffing efficiencies: the study (Deliverable 3C) already identifies \$625,000 in potential annual savings from reallocations and process improvements. At Level 3, expect to realize 15–25% additional productivity per full-time equivalent in high-impact areas like Administrative Services and Public Works—potentially equating to 1–2 FTE equivalents redirected without net headcount increases (e.g., through attrition or reallocation). To be clear, once the departments achieve a level 3 maturity, we estimate:

- Accounting personnel (including bookkeeping) can be reduced to 3 positions;
- Community Development can be reduced by 0.5 positions (likely in permit technician functions); and
- Public Works can reduce personnel by 2–3 positions.

Critical Points: To be clear, targeted reductions in personnel does not mean that the individuals staffing those positions must be terminated. Rather, they can be reassigned to higher value positions/tasks. This effort will also help eliminate tedious tasks that most employees dislike, and it will enable them to engage in more interesting, higher-impact work. We emphasize these points because it is a common tactic of “resistors to change” in an organization to begin sowing fear that “a lot of people are going to be fired from their positions if we do this.” We have already seen evidence of this in the City at executive management levels. This is a key issue to address in the change management system effort.

7.7. Risk Management System (B.7)

We recommend the development of a **Risk Management System (B.7)** as a Phase 2 initiative, essential for systematically identifying, assessing, mitigating, and monitoring risks across the City’s operations (See **Figure 22**). In a small municipality facing fiscal constraints, operational challenges, and past incidents like the 2024 ransomware attack, an effective risk management system shifts from reactive responses to proactive resilience. It addresses vulnerabilities in areas such as financial controls, infrastructure maintenance, and compliance, while directly supporting FWA mitigation. By integrating anticipated FWA control recommendations (B.2), which include enhanced internal controls like multi-level approvals, automated reconciliations, and anomaly detection in accounting and procurement, the system will embed these safeguards to prevent financial mismanagement and operational inefficiencies.

Development should commence immediately in Phase 2, led by a cross-functional team including the IT Manager, City Accountant, and department directors (e.g., Public Works and Administrative Services). Begin with a foundational framework based on established standards like ISO 31000 or COSO ERM, tailored to the City’s scale. Conduct a comprehensive risk assessment: Inventory potential risks using workshops and surveys, categorizing them into strategic (e.g., budget shortfalls), operational (e.g., water system failures), financial (e.g., vendor fraud), and compliance (e.g., regulatory violations). Prioritize based on likelihood, impact, and alignment with FWA findings—such as weak segregation of duties in finance, which could lead to unauthorized transactions.



Figure 22 – Enterprise Risk Management: Committee of Sponsoring Organizations (COSO) Enterprise Risk Management Cube, often called the ERM Framework, is a visual tool that maps out how organizations identify, assess, and respond to risks.

Key development components include:

- **Risk Register:** Build a centralized, digital repository (cloud-based, integrated with the Knowledge Management System) to track risks, including descriptions, owners, mitigation strategies, and status updates. Incorporate FWA-specific fields, like control effectiveness ratings for audit trails and exception reporting.
- **Assessment and Scoring Tools:** Develop a standardized scoring matrix (e.g., qualitative/quantitative scales) and leverage AI-enabled analytics (e.g., Azure AI) for predictive modeling—flagging emerging risks like overtime spikes or unusual procurement patterns as per FWA recommendations.

- **Mitigation Playbooks:** Create action plans for high-priority risks, embedding anticipated FWA controls such as mandatory dual approvals for disbursements over \$5,000 and automated vendor verification to reduce abuse opportunities.
- **Integration with Existing Systems:** Align with the Governance & Policy Framework for risk-related policies, RASCI matrices for ownership assignment, and dashboards for real-time visualization of risk metrics (e.g., exposure levels, mitigation progress).

Once developed (target: 6–9 months), deployment focuses on embedding the system into daily operations. Roll out in phases: Pilot in finance and public works (3 months), where FWA risks are highest, then expand citywide. Provide mandatory training through the Training Program (A.14), covering risk identification, reporting, and tools usage—aiming for 100% staff participation. Use the Change Management System (A.20) to address resistance, with communications emphasizing benefits. Establish governance: Form an internal Risk Committee (meeting quarterly) for oversight, with escalations to the City Council Executive Dashboard.

Anticipated challenges include data silos and staff overload; mitigate by leveraging IT solutions for automated data feeds. Performance measures: Track risk reduction (e.g., 20–30% decrease in identified vulnerabilities), mitigation completion rates (95% on time), and integration with FWA controls (e.g., 80% of financial processes audited quarterly).

Benefits are multifaceted: The system will yield 15–25% operational risk reductions, align with CMMI Level 3 for process maturity, and enhance FWA prevention through embedded controls—ultimately safeguarding public resources, improving efficiency, and fostering resident confidence in City governance.

7.8. Asset Management System (B.8)

Public Works is an area with the highest potential for transformational change, characterized by high work volume, seasonal demands, and complex challenges in water, wastewater, streets, and stormwater infrastructure. The current state (Deliverable 2) discusses reactive maintenance, fragmented tracking (e.g., reliance on spreadsheets or manual logs), and deferred investments—contributing to aging assets, discolored water issues, pipe leaks, and a \$2.5 million annual infrastructure shortfall per related analyses. Deliverable 3C emphasizes Public Works’ criticality, noting that improved asset management could yield significant efficiencies, while the CIP dashboard tracks a \$66.2 million five-year plan across 106 projects focused on streets, water, wastewater, and facilities.

Developing a dedicated **Asset Management System (B.8)** in Phase 2 is essential to shift from reactive to proactive, predictive maintenance, extending asset life, reducing costs, and improving service reliability. This system will centralize inventory, condition assessments, maintenance scheduling, and performance tracking for all City-owned assets—prioritizing Public Works’ high-volume items like water mains, pumps, streets, sidewalks, and stormwater systems.

Development Approach: Led by the Public Works Director in coordination with the IT Manager and City Accountant, begin with a needs assessment: Inventory existing assets using GIS (ArcGIS integration) and digitize records (building on Records Digitization, A.18). Adopt a standardized framework like ISO 55000 or PAS 55, tailored for small municipalities, to define asset hierarchy, condition grading (e.g., 1–5 scale), and lifecycle costing.

Key features include:

- **Centralized Asset Register:** A cloud-based CMMS (Computerized Maintenance Management System) such as Cityworks, Cartegraph, or Lucity—integrated with Springbrook for financials and OpenGov for budgeting—to track location, age, condition, maintenance history, and replacement costs.
- **Preventive and Predictive Maintenance:** Schedule routine tasks (e.g., pump inspections) and use predictive analytics (AI/ML via Azure or similar) for condition-based alerts—e.g., forecasting pipe failures based on age, soil data, and historical leaks, reducing reactive repairs by 30–50%.

- **Work Order and Resource Management:** Automate ticketing (e.g., from Grapevine reports), assign crews via RASCI matrices, and track labor/materials to optimize seasonal staffing.
- **Integration and Reporting:** Link to executive dashboards for real-time KPIs (e.g., preventive maintenance rate >90%, asset uptime, budget variance) and CIP tracking (e.g., progress on \$3.3 million water and \$2.1 million wastewater projects).
- **FWA Alignment:** Incorporate anticipated FWA control recommendations—e.g., audit trails for asset-related expenditures, approval workflows for repairs >\$5,000, and anomaly detection for unusual maintenance patterns—to prevent waste in procurement or labor allocation.

Deployment Strategy: Pilot (6–9 months) in water/wastewater (high-risk due to discolored water complaints and regulatory fines), then expand to streets/sidewalks. Train staff via the Training Program (A.14), with change management support (A.20) to address resistance. Budget \$10–20K initially (software licensing, GIS enhancements, training), potentially offset by grants. Monitor via dashboards, targeting metrics like reduced emergency repairs (20–40% drop) and extended asset life (10–20 years for pipes).

Benefits:

- Operational: Shift to 80–90% preventive maintenance, minimizing disruptions and extending lifecycles.
- Financial: Achieve \$50,000–\$100,000 annual savings through optimized scheduling and reduced emergency costs.
- Resident-Focused: Improve water quality reliability and road conditions, addressing Godbe survey concerns.
- Maturity: Advance CMMI Level 3 by standardizing asset processes citywide.

This system transforms Public Works from reactive to strategic, supporting long-term infrastructure sustainability and aligning with the City’s capital improvement goals.

7.9. Strategic Communications Plan (B.9)

The **Strategic Communications Plan (B.9)** is a Phase 2 high-priority lever point, essential for tying internal change efforts to external public relations and resident trust-building. Currently, the City Clerk’s office handles communications—managing agendas, public notices, and basic outreach—but lacks a strategic approach, resulting in reactive messaging, inconsistent channels, and missed opportunities for engagement. This plan will unify internal (staff-focused) and external (public relations) communications, ensuring transparency, alignment, and measurable impact. Critically, it must be guided by the **City Strategic Plan (A.1)**, using its themes—such as rebuilding community trust through FWA mitigation, operational excellence, and resident-centered services—as the core narrative to shape all messaging.

Development should begin in Phase 2 (Months 6–12 post-transformation start), led by the City Clerk in collaboration with the Human Resources Manager (for internal comms), IT Manager (for digital tools), and a cross-departmental team including Public Works and Administrative Services representatives. Start with a communications audit: Assess current channels (e.g., website, newsletters, social media, staff emails) via surveys and analytics to identify gaps, such as low resident awareness of CIP projects or internal resistance to BPR changes. Reference the City Strategic Plan’s goals—e.g., enhancing trust via FWA transparency—to define objectives: Increase resident satisfaction (target 70% positive feedback per Godbe-style surveys), boost staff engagement (80% training participation), and ensure 90% of communications align with strategic priorities.

Key development elements:

- **Internal Communications Strategy:** Focus on change management support (A.20), delivering timely updates on BPR progress, policy changes, and training via intranet portals, all-hands meetings, and newsletters. Embed FWA awareness to foster a culture of accountability.

- **External Public Relations Strategy:** Prioritize resident engagement through multichannel outreach—website revamps, social media campaigns, community forums, and press releases—highlighting strategic plan milestones like infrastructure improvements or efficiency gains.
- **Integrated Tools and Channels:** Develop a unified platform (e.g., cloud-based CMS integrated with CRM System, B.10) for consistent branding and tracking. Use AI for sentiment analysis on public feedback.
- **Messaging Guidelines:** Create templates aligned with the strategic plan’s vision, ensuring inclusive, transparent language that addresses resident concerns (e.g., water quality updates tied to Public Works strategies).
- **Stakeholder Mapping:** Identify audiences (residents, staff, partners) and tailor content, incorporating customer-centered design for accessible, user-friendly formats.

We emphasize that with Strategic Communications, the City should develop audience segmentation. At the highest level, this could include communications: 1) necessary for policy or legal compliance; 2) internal City personnel; 3) City residents; 4) City businesses; and 5) City guests (tourists). Some of these areas can be split further into subsegments based on age, interests, behavior, etc. The City should not confuse good communications for policy or legal compliance, which are often highly detailed and technical, with good communications for City residents.

Deployment rolls out in Phase 2, with a soft launch: Pilot internal comms during a BPR rollout (e.g., accounting automation) and external via a town hall on strategic plan progress. Full deployment includes quarterly reviews via dashboards (A.19), measuring metrics like open rates, engagement scores, and alignment audits. Train staff through the Training Program (A.14), with the City Clerk as central coordinator.

Challenges like message overload can be mitigated via the Change Management System (A.20), prioritizing concise, targeted updates. Benefits include accelerated transformation adoption, reduced misinformation, and stronger resident trust—evidenced by improved survey ratings and higher participation in City initiatives. By anchoring communications in the City Strategic Plan, this plan ensures cohesive storytelling that amplifies efficiency gains, FWA safeguards, and community-focused outcomes, positioning St. Helena as a transparent, responsive government.

7.10. Customer Relationship Management System (B.10)

Customer Relationship Management System (B.10) is a Phase 2 effort to centralize and enhance interactions with residents and businesses. Currently, the City relies on fragmented tools—such as the Grapevine app for service requests, email/phone for inquiries, and departmental silos for permitting or licensing—leading to inconsistent experiences, delayed responses, and limited insight into community needs. A dedicated CRM will create a unified platform for tracking, personalizing, and improving service delivery, directly supporting the City Strategic Plan’s goals of resident-centered governance, enhanced community engagement, and operational excellence.

Development should begin in Phase 2, led by the IT Manager in collaboration with the City Clerk (who currently handles basic communications), Administrative Services Director, and a resident/business advisory group. Start with a needs assessment: Map existing interactions (e.g., Grapevine tickets, business license renewals, water billing inquiries) and survey residents/businesses on pain points, targeting 70%+ satisfaction improvement as a benchmark. Align requirements with the Strategic Plan’s emphasis on trust-building through transparency and responsiveness—e.g., real-time updates on infrastructure projects or permitting status.

Select a scalable, municipal-focused CRM platform (e.g., CivicPlus, Granicus, or Salesforce Government Cloud) with 311-style request management, contact history, and analytics. Key features include:

- **Resident/Business Portal:** Self-service access for submitting requests, tracking status, paying fees, renewing licenses, and receiving notifications—integrated with Grapevine for seamless handoffs.
- **Case Management:** Centralized ticketing with automated routing (e.g., water quality complaints to Public Works), SLAs for response times (target <48 hours), and escalation protocols.

- **360-Degree View:** Unified profiles capturing interaction history across channels (phone, email, portal, social media), enabling personalized responses and trend analysis (e.g., recurring business permitting issues).
- **Analytics & Reporting:** Dashboards tracking KPIs like resolution rates, satisfaction scores (via post-interaction surveys), and engagement metrics—feeding the City Council Executive Dashboard for oversight.
- **FWA & Compliance Integration:** Secure data handling with audit trails, role-based access, and automated alerts for anomalies (e.g., duplicate requests indicating potential abuse).

Deployment rolls out in Phase 3: Pilot with high-volume services (e.g., utility billing, business licensing) for 3 months, gathering feedback via focus groups. Full rollout includes staff training through the Training Program), with the City Clerk as CRM administrator. Integrate with existing tools (e.g., Springbrook for payments, GIS for location-based requests) and the Knowledge Management System for quick-reference FAQs. The system should include metrics for integration into the City's dashboards.

Budget \$20–30K initially (licensing, customization, training), offset by efficiency gains (e.g., 20–30% reduction in manual processing per municipal benchmarks). Challenges like adoption resistance can be addressed via the Change Management System (A.20), emphasizing benefits like faster service and reduced staff workload.

Benefits:

- Enhanced resident satisfaction through consistent, tracked interactions.
- Improved business support (e.g., streamlined licensing renewals).
- Data-driven insights for strategic planning (e.g., prioritizing road repairs based on request trends).
- Strengthened trust via transparent updates on Strategic Plan progress.

This CRM transforms the City from reactive to strategic, creating a resident- and business-centered ecosystem that amplifies the City's commitment to excellence and community partnership.

7.11. Quality Management System (B.11)

A **Quality Management System (QMS)** (B.11) is a Phase 2 component, building on Continuous Quality Improvement (CQI) foundations from earlier phases and aligning with the push toward CMMI Level 3 maturity. In St. Helena's current state, quality practices are ad hoc—reactive audits in finance, inconsistent maintenance in Public Works, and limited performance tracking across departments—leading to inefficiencies, resident dissatisfaction (e.g., Godbe survey ratings below 0.5 for key services), and vulnerabilities like FWA risks or infrastructure failures. A formalized QMS will institutionalize proactive quality assurance, ensuring processes meet standards, deliver value, and continuously improve, directly supporting the City Strategic Plan's emphasis on operational excellence and community trust.

Development should commence in late Phase 2 (Months 9–12), transitioning to full deployment in Phase 3 (Months 12–24). Lead with a cross-functional QMS team: the Human Resources Manager (for training and culture), IT Manager (for digital tools), City Accountant (for financial quality controls), and Public Works Director (for operational focus). Begin with a gap analysis: Review Level 2 and 3 BPR outputs (e.g., As-Is/To-Be diagrams) and FWA findings to identify quality gaps, such as variable permitting times or unmonitored vendor performance. Adopt a framework like ISO 9001:2015 or Baldrige Criteria, tailored for small governments—focusing on leadership, planning, support, operation, performance evaluation, and improvement.

Key development elements include:

- **Quality Policy and Objectives:** Draft a citywide quality policy aligned with the Strategic Plan, setting measurable objectives (e.g., 95% on-time service delivery, <5% rework in accounting). Integrate FWA controls, such as mandatory audits for high-risk processes.

- **Process Standardization:** Build a quality manual in the Knowledge Management System, documenting standard operating procedures (SOPs) for core processes (e.g., water testing protocols in Public Works, invoice processing in Finance). Use RASCI matrices to assign quality roles.
- **Measurement and Tools:** Define KPIs (e.g., defect rates, customer satisfaction scores) and integrate AI-driven analytics (e.g., Azure tools) for real-time monitoring. Link to dashboards for visualization, including FWA metrics like exception rates.
- **Audit and Review Mechanisms:** Establish internal audit schedules (quarterly for high-risk areas) and management reviews (biannual) to evaluate system effectiveness.
- **Customer Focus Integration:** Embed resident/business feedback loops from the CRM System (B.10), ensuring quality aligns with customer-centered design principles.

Deployment rolls out progressively: Pilot in one department (e.g., Public Works, given its high transformation potential) for 3–6 months, testing SOPs, audits, and tools. Expand citywide, with mandatory training via the Training Program (A.14)—covering quality principles, root-cause analysis (e.g., 5 Whys), and tools like PDCA cycles. Use the Change Management System (A.20) for adoption: Communicate benefits (e.g., reduced errors saving \$100,000+ annually) and address resistance through workshops. Deploy digital elements via cloud platforms, ensuring integration with the Asset Management System (B.8) for maintenance quality and the Risk Management System (B.7) for risk-linked audits.

Governance ties in through the Policy Framework (A.22), mandating QMS compliance, with oversight via the City Council Executive Dashboard (A.8)—tracking metrics like audit findings resolution (target 90% within 30 days). Budget \$10–20K initially (software, training, audits), offset by efficiencies (e.g., 15–25% reduction in rework per industry benchmarks).

Challenges include cultural shift from reactive to preventive; mitigate with leadership sponsorship and incentives tied to the Talent Management System (A.12). Potential overload in small staff can be addressed via strategic partnerships (A.3) for shared quality expertise.

Benefits:

- **Operational:** Standardized processes reduce variability, improving service reliability (e.g., consistent water quality, faster permitting).
- **Financial:** Prevent FWA losses and optimize resources, contributing to \$625,000+ savings (Deliverable 3C).
- **Resident Trust:** Transparent quality reporting via the Strategic Communications Plan (B.9) demonstrates accountability.
- **Maturity:** Paves the way for CMMI Level 3 certification, with integrated CQI fostering innovation.

This QMS deployment creates a culture of excellence, ensuring transformation initiatives deliver lasting value and positioning St. Helena as a model of efficient, quality-driven local governance.

7.12. Public Works Long-Term Strategy (B.12)

The City of St. Helena’s Efficiency and Business Transformation Study identifies Public Works as the department with the highest potential for transformational change, given its high work volume, ranging from routine tasks like street sweeping to complex operations like water and wastewater management. With a population of around 5,300, the City faces unique challenges: seasonal surges in demand (e.g., tourism-driven infrastructure strain), aging assets (e.g., frequent pipe leaks and discolored water incidents), and limited internal capacity for specialized expertise. The study’s Phase 2 recommendations (Deliverable 3C) outline three strategic options for a long-term approach: total outsourcing of Public Works, partial outsourcing focused on water and wastewater, or maintaining the as-is structure with targeted performance improvements. Each option must account for the City’s small size, which poses a significant feasibility concern—commercial providers

may be reluctant to take on low-volume contracts due to economies of scale issues, as seen in similar California municipalities where providers prefer larger urban clients.

A big hurdle is attracting vendors: For a city of this scale, total outsourcing might not appeal to private firms like Veolia or American Water, which typically target populations over 20,000 for profitability. Instead, regional water districts or county partnerships (e.g., with Napa County) could be more viable, drawing from historical models like the "Lakewood Plan" pioneered in Lakewood, CA, in 1954, where small cities contract with counties for services to achieve cost efficiencies without full privatization.

Option 1: Total Outsourcing of Public Works

This involves contracting all Public Works functions—streets, parks, stormwater, water, wastewater, and facilities—to a single external provider. Pros include access to specialized expertise, reduced administrative burden, and potential cost savings of 20–40% through economies of scale, as noted in studies of similar California cities like Camarillo and Santa Clarita, which contract with Ventura County for services like fire and public works elements. Providers could bring advanced tools (e.g., predictive analytics for maintenance) and handle seasonal staffing surges without the City's HR overhead.

However, cons are substantial: Loss of local control could lead to slower response times for community-specific needs, like rapid repairs. Job impacts on current staff (e.g., potential layoffs or transfers) might erode morale. Feasibility is low for a 5,000-person city—private firms may decline due to slim margins, as evidenced by limited examples in small California towns/cities; instead, models like Palm Desert's county contracts for fire services suggest partial reliance on regional entities. Long-term risks include contract disputes, as seen in some outsourced transit systems transitioning back in-house (e.g., San Diego MTS). If pursued, a 10–15-year contract with performance clauses (e.g., 95% on-time maintenance) and exit options is advisable, but only after RFP exploration reveals viable bidders. Overall, Blackberg does not believe that this option is viable because commercial entities will likely be uninterested in the City because of its small size.

Option 2: Outsourcing Water and Wastewater

A more targeted approach: Outsource only the most complex, regulated services—water treatment, distribution, and wastewater management—while retaining in-house control over streets, parks, and stormwater. This leverages external expertise for high-risk areas (e.g., compliance with California Water Board standards, addressing discolored water complaints), where the City struggles with specialized skills and capital costs. Pros include cost predictability (fixed-rate contracts), improved reliability (providers like Veolia specialize in water tech), and reduced liability for environmental fines. Examples from small California cities, such as those in Riverside County contracting for specific utilities, show 15–25% savings and better maintenance. For St. Helena's size, regional providers (e.g., Napa Sanitation District partnerships) are more feasible than national firms, avoiding the scale issue.

Cons: Partial outsourcing could fragment operations, requiring strong coordination to prevent silos. Transition costs (e.g., asset transfers) might offset initial savings, and dependency on vendors could expose the City to rate hikes. Long-term strategy: 5–10-year contracts with SLAs (e.g., <2% water loss rate), integrated with the Asset Management System (A.5) for monitoring. Blackberg believes that this is the best long-term strategy to explore; however, due to the City's small size, it will likely not include commercial solutions. Solutions should focus on strategic partnerships with local and county municipalities (e.g. regional water district).

Option 3: Stay As-Is with Performance Improvements

Retain full in-house operations but invest in internal enhancements through BPR, asset management, and technology. Pros include maintaining local control, preserving jobs (key for community morale), and building long-term capacity. The study (Deliverable 3A) suggests staffing reallocations (e.g., \$625,000 savings via efficiencies) without outsourcing, using tools like preventive maintenance (91% target rate) and AI analytics to optimize resources. Examples from small California cities like Palm Desert show success through county collaborations for specific tasks while keeping core operations internal, achieving economies without privatization.

Cons: Slower gains, as internal reforms require upfront investment (\$200–400K for systems/training) and may not fully address expertise gaps in complex areas like wastewater. Feasibility is high, avoiding vendor search challenges. Short-term:

Implement over 1–2 years, focusing on CMMI Level 3 maturity—standardized processes, integrated dashboards, and partnerships for shared services (e.g., Napa County for specialized training).

Acknowledging the Larger Context of Water and Wastewater

Water challenges for St. Helena go beyond the efficiency and effectiveness goals of this study. However, they must be acknowledged to better understand how efficiency and effectiveness recommendations fit into the larger context of water.

- The region experiences pronounced inter-annual variability in precipitation and snowpack. Even with a wetter-than-average start to the 2025–2026 water year, late-season drying has renewed concerns about drought recurrence. This comes after recent, historically severe droughts. St. Helena relies on a blended portfolio of local groundwater, surface water from Bell Canyon Reservoir, and purchased supplies from the City of Napa.
- Declining water deliveries caused by a shrinking population and heightened conservation have tightened revenues while increasing the relative cost of imported water. Non-revenue water loss remains elevated at approximately 15% due to leaks in aging mains.
- Wildfires are a constant threat to St. Helena and the surrounding region. The 2020 “Glass Fire” threatened St. Helena and destroyed many nearby structures. Deferred maintenance has left transmission lines, treatment plants, and Bell Canyon Reservoir infrastructure vulnerable to stress during high-demand events. Wildfire-induced power outages can disable pumps and treatment processes, while smoke/ash ingress compromises source water quality in real time. Wildfires create cascading water quality threats that persist for months to years, directly compounding St. Helena’s existing iron/manganese and infrastructure issues.
- Under the Sustainable Groundwater Management Act (Water Code §10720 et seq.), the Napa County Groundwater Sustainability Agency (NCGSA) adopted the Napa Valley Subbasin Groundwater Sustainability Plan (GSP) in 2023. Napa County’s Groundwater Sustainability Agency (GSA) is implementing new **pumping fees starting in 2026** to fund the required \$2.5 million annual management program.
 - Agriculture (primarily vineyards) accounts for ~74% of pumping; public water systems like St. Helena are charged **per acre-foot extracted**.
 - This adds direct costs to St. Helena’s municipal supply while the county works to maintain local control and prevent overdraft.
- St. Helena’s raw water sources—Bell Canyon Reservoir and local groundwater wells—exhibit naturally elevated concentrations of iron (Fe) and manganese (Mn). These metals oxidize and precipitate in the distribution system, leading to recurring episodes of discolored water and metallic odors. They necessitate frequent system flushing (tens of thousands of gallons per event), increasing non-revenue water loss and operational expense.
- Decades of deferred investment have left the City’s water transmission, treatment, and distribution assets in suboptimal condition. The City is advancing a multi-year CIP exceeding \$55 million to address critical needs, including Bell Canyon intake tower replacement, water treatment plant upgrades, transmission line replacements, and tank rehabilitation. These projects are essential for regulatory compliance and system reliability but impose significant rate pressure on a limited customer base.
- At ~5,300 residents, St. Helena operates well below the technical and economic threshold for efficient standalone water and wastewater treatment (generally 20,000+ population equivalents). Fixed costs for regulatory compliance, skilled staffing, major equipment, and capital upgrades are spread across a small number of connections, resulting in higher per-unit costs than larger regional systems. Napa LAFCO’s Countywide Water and Wastewater Municipal Service Review (2020, with ongoing updates) explicitly recommends regionalization—via county water agency, county water district, or Joint Powers Authority—to consolidate services, share resources, and achieve economies of scale.

Recommendations – A Hybrid Approach

Blackberg recommends a combination of Option 2 and Option 3. In the short term (1-2 years), the City should pursue Option 3, aggressive performance improvements, in Public Works. These improvements should include all Public Works – including Water and Wastewater Treatment. The improvements span all the management system and business process reengineering recommendations we make throughout this deliverable. To provide a simple example, we are aware that Public Works should be conducting routine “flushes” of the City’s pipes. However, we observed that Public Works was unable to provide any data on how many flushes it had conducted and when/where. This is an example of an issue that Public Works could easily correct in under 24 hours by creating a simple data tracker in Microsoft SharePoint via a “list.” Theoretically, assuming access to the system, a manager in Public Works could create such a SharePoint list in under 10 minutes. With a bit more work (~30 minutes), that list could feed a Microsoft Power BI dashboard to visualize the data.

While implementing Option 3, short-term process improvements, Blackberg recommends that the City pursue **Option 2: Outsourcing Water and Wastewater**. This is a long-term strategy for the next 5-10 years. Because commercial outsourcing is likely unviable due to the City’s small size, the City should pursue strategic partnering opportunities through Regional Water District concepts. A Regional Water District would provide the economies of scale needed and could engage commercial solutions as well.

7.13. Preventative Maintenance and Predictive Analytics (B.13)

Assuming the City of St. Helena’s Public Works department adopts the hybrid strategy—outsourcing water and wastewater services (e.g., via a regional partnership with Napa County or NapaSan) while retaining and optimizing in-house operations for streets, parks, stormwater, and facilities—the focus shifts to internal enhancements. This approach aligns with the Efficiency and Business Transformation Study’s emphasis on leveraging technology and process maturity (Deliverables 3A and 3C), where Public Works’ non-utility areas represent high-volume, seasonal workloads with opportunities for 20–40% cost savings through improved efficiency. Implementing preventative maintenance (scheduled, proactive upkeep) and predictive analytics (data-driven failure forecasting) will transition these areas from reactive repairs to optimized, resilient management, reducing emergency costs, extending asset lifespans, and improving resident satisfaction (e.g., smoother streets, well-maintained parks).

The implementation should unfold over 18–24 months, led by the Public Works Director with support from the IT Manager and City Accountant. Budget \$50–100K initially (software, sensors, training). Tie to the City Strategic Plan for resident-centered outcomes, integrating with the Asset Management System (B.8), Risk Management System (B.7), and dashboards (A.19) for monitoring. Use the Change Management System (A.20) to address staff resistance and the Training Program (A.14) for skill-building.

Step 1: Asset Inventory and Baseline Assessment

Begin with a comprehensive inventory of non-water/wastewater assets: streets (pavement, sidewalks, signage), parks (playgrounds, irrigation, benches), stormwater (drains, culverts, retention basins), and facilities (buildings, HVAC, lighting). Use GIS tools like ArcGIS (already in use per study) to map locations, conditions, and historical data. Conduct condition assessments: For streets, employ pavement condition index (PCI) surveys (target PCI >70); for parks, inspect equipment per ASTM standards; for stormwater, evaluate inlet/grate functionality to prevent flooding; for facilities, assess energy efficiency via audits.

Incorporate FWA controls: Document asset values and maintenance costs to flag anomalies (e.g., unusual repair spending). Baseline metrics: Current reactive repair rate (e.g., 60% of work orders, per illustrative data), asset downtime, and costs. This step builds on Records Digitization (A.18) for digital access and the Knowledge Management System (A.17) for storage.

Step 2: Select and Deploy Technology Platforms

Choose a Computerized Maintenance Management System (CMMS) with built-in predictive capabilities, such as Cityworks, Cartegraph, or IBM Maximo—scalable for small cities and integrable with ArcGIS. These platforms support preventative scheduling (e.g., automated work orders) and predictive analytics via AI/ML (e.g., forecasting pavement cracks based on traffic, weather, and age data).

For predictive analytics, deploy IoT sensors: Install vibration/strain sensors on bridges/culverts (stormwater/facilities), soil moisture sensors in parks, and pavement-embedded sensors for streets (e.g., via partnerships with Caltrans for tech pilots). Use cloud-based AI (e.g., Azure or AWS) to analyze data patterns—predicting failures like stormwater blockages before floods or park equipment wear before breakdowns. Reference EPA’s stormwater BMPs (Best Management Practices) for maintenance plans, ensuring sensors monitor sediment buildup in basins.

Integrate with the CRM System (A.5) for resident-reported issues (e.g., potholes via Grapevine app) and dashboards for real-time KPIs (e.g., preventive completion rate >90%). Address small-size challenges by opting for subscription-based SaaS models rather than custom builds.

Step 3: Develop Maintenance Schedules and Protocols

For preventative maintenance: Create standardized schedules based on asset type and manufacturer guidelines—e.g., quarterly street inspections, monthly park playground checks (per CPSC standards), biannual stormwater drain cleanings, and annual facility HVAC tune-ups. Use CMMS to automate reminders and assign tasks via RASCI matrices, ensuring accountability.

For predictive analytics: Train models with historical data (e.g., past repair logs, weather from NOAA) to forecast issues—e.g., predicting street potholes after heavy rains or park irrigation failures during droughts. Set thresholds for alerts (e.g., vibration >threshold triggers inspection). Incorporate FWA by auditing maintenance expenditures in the system to prevent inflated costs or ghost work.

Align with the Quality Management System (B.11) for PDCA cycles: Plan schedules, do implementations, check via audits, act on insights. Reference municipal guides like Oxmaint’s 2025 recommendations for data-driven strategies, emphasizing GIS for real-time operations.

Step 4: Staff Training and Cultural Shift

Train 100% of Public Works staff (via Training Program) on CMMS usage, sensor data interpretation, and predictive tools—e.g., 20-hour courses with hands-on simulations. Foster a proactive culture through incentives (tied to Talent Management System, A.12), recognizing teams for high preventive rates. Use the Strategic Communications Plan (B.9) for internal updates and external PR on improvements (e.g., “Safer Streets Ahead” campaigns).

Step 5: Full Deployment and Continuous Improvement

Roll out system-wide, starting with streets/parks (high visibility) then stormwater/facilities. Monitor via dashboards: KPIs like preventive vs. reactive ratio (target 80/20), asset lifespan extension (10–20%), and cost savings (15–25% reduction in emergencies). Conduct quarterly reviews under the Risk Management System, adjusting models with new data. Integrate with BPR (B.5) for Level 3 maturity, ensuring processes are standardized and measurable.

Challenges: Initial sensor costs and data privacy; mitigate with grants (e.g., Caltrans for roads) and compliance audits. Benefits: Reduced downtime, lower costs, and improved resident satisfaction (target Godbe rating >0.6 for infrastructure). This implementation empowers Public Works to thrive in the hybrid model, focusing in-house strengths on visible, community-valued services while outsourcing complexities of water and wastewater over the long term.

7.14. Strategy Implementation (B.14)

The hybrid strategy for St. Helena’s Public Works—outsourcing water and wastewater (e.g., via regional partnership with a Regional Water District) while optimizing in-house operations for streets, parks, stormwater, and facilities—requires a

phased, integrated approach. This aligns with the Efficiency and Business Transformation Study's goals, leveraging BPR (B.5) for process maturity, asset management (B.8) for efficiency, and governance tools for accountability, while addressing the City's small size and seasonal demands. Public Works can conduct the strategy implementation with Option 3 and Option 2 efforts being conducted in parallel. The Option 2 efforts will have a timeline that far exceeds phase 2 of the Transformation Roadmap. Blackberg envisions a **5-10 year timeline for Option 2**.

	Option 3 Improvements	Option 2 Regional Water District
Phase 1	This begins in Phase 1 of the Transformation Roadmap. Efforts included Customer-Centered Design Framework, Governance and Policy, Business Process Re-Engineering, Talent Management, Knowledge Management, and Dashboard Development. All the initiatives exist across City government, but they also have specific impacts for Public Works. The impacts include water and wastewater management.	These efforts begin in Phase 1 with A.3 Strategic Partnerships. St. Helena should begin/continue exploring the concept of a Regional Water District with strategic partner municipalities. This stage is focused on building relationships, establishing committees / coalitions, and ideation. A serious risk of this phase is that the concept never advances because it is so long term. Therefore, the City should formulate short term goals for it.
Phase 2	In Phase 2, Public Works continues efforts to mature business processes and implement management systems (i.e. Risk Management, Asset Management, Change Management, Customer Relationship Management, and Quality Management). Preventative maintenance and predictive analytics become important initiatives. There should be focused coordination with Administrative Services on automating and optimizing accounting-related processes.	Efforts should begin to shift towards developing a written concept for St. Helena's participation in a Regional Water District and for the Regional Water District itself. This will require coordination and strategic partnerships (e.g. St. Helena, Calistoga, Yountville, American Canyon, and the City of Napa and smaller special districts). Regionalization remains at the ideation and recommendation stage, as outlined in the Local Agency Formation Commission of Napa County (LAFCO) Countywide Water and Wastewater Municipal Service Review (adopted 2020, updated 2021). LAFCO has formally recommended governance options such as a new county water agency, county water district, or Joint Powers Authority (JPA) to achieve economies of scale, but no implementing legislation, voter approval, or operational entity has been established as of April 2026.

Current Institutional Landscape

- **Napa County Flood Control and Water Conservation District** This district coordinates county-wide water planning, administers the County's SWP Table A allocation (~29,000 acre-feet), and subcontracts portions to cities (e.g., St. Helena receives 2,000 acre-feet). It also manages the Napa River/Napa Creek Flood Protection Project and related watershed initiatives. Its role is **planning and resource coordination**, not operational utility service delivery.
- **Napa Sanitation District (NapaSan)** Provides wastewater treatment primarily for the City of Napa and limited surrounding areas. It operates at a larger scale but is geographically and functionally separate from potable water systems.
- **Independent Systems** St. Helena, Calistoga, and other smaller providers operate standalone groundwater/surface water treatment and distribution systems. No inter-agency treatment or transmission sharing agreement currently exists at a regional scale.
- **Napa County Groundwater Sustainability Agency (GSA)** Implements SGMA requirements and new pumping fees (effective FY 2026–27 at \$129.87 per acre-foot for public systems), but this is a regulatory and planning body, not a service provider.

8.0 Recommendations – Phase 3

8.1. Management Systems (C.1)

In Phase 1 and Phase 2, Blackberg focused on the design, development, and deployment of management systems within St. Helena’s government organization. These management systems are critical for improving the efficiency and effectiveness of the City. We emphasize that a management system is not simply an IT system. A management system typically includes an IT system, but it also must engage elements of people, processes, infrastructure, strategy, etc. Further, expensive IT systems are not required to build management systems. Most of the recommended management systems (not all) can be fully implemented with Microsoft 365 solutions addressing the IT needs. This will significantly reduce cost impacts.

Critical Considerations. We emphasize that these management systems should not exist in isolation of each other. They must be integrated in various ways. This may mean direct integration in the IT system; however, it could also mean integration through strategic objectives. For example, there may not be direct IT integration between the Talent Management System and the Knowledge Management System; however, the Talent Management System should develop and monitor training of employees on proper use of the Knowledge Management System. Likewise, if there are changes to the Knowledge Management System, the Talent Management System’s training should be updated to reflect the changes.

Management Systems
Change Management System
Customer Relationship Management System
Quality Management System
Asset Management System
Talent Management System
Knowledge Management System
ITIL 4

We provide a quick summary of those Management Systems:

- **Change Management System** — Supports organizational transitions, tied to strategic communications, continuous improvement, and handling shifts from process reengineering and modernization efforts.
- **Customer Relationship Management System (CRM)** — Focuses on improving resident and stakeholder interactions, aligning with customer-centered design frameworks and building community trust (e.g., through FWA mitigation and service delivery enhancements).
- **Quality Management System** — Drives ongoing process refinement, linked to continuous quality improvement (CQI) practices and potential CMMI Level 3 maturity targets.
- **Asset Management System** — Critical for infrastructure-heavy areas like Public Works (including water/wastewater, preventative maintenance, and predictive analytics), addressing high-volume operational challenges.
- **Talent Management System** — Covers hiring, policies, training programs, and overall workforce development (e.g., new positions like HR Manager, strategic hiring, and talent policies).
- **Knowledge Management System** — Handles centralized storage and access to policies, processes, documentation, and institutional knowledge (e.g., policy registers, as-is/to-be designs, and dashboards).
- **ITIL 4** — Provides a framework for IT service management, integrated with broader IT modernization (e.g., cloud migrations, TOGAF, CMMI, and AI/automation solutions).

As the City implements these management systems, it will not be the case that the job is done. The continuous quality improvement concept will apply to the management systems. The City should continue to seek ways to improve each management system and improve their integration. This is part of process maturation.

8.2. System of Systems with TOGAF (C.2)

We recommend that the City adopt a simplified implementation of TOGAF (The Open Group Architecture Framework) as the guiding framework to enable a cohesive “**system of systems**” approach. This method treats the City’s various management systems—such as Change Management, Customer Relationship Management (CRM), Quality Management, Asset Management, Talent Management, Knowledge Management, and ITIL 4—as interconnected components within a larger enterprise ecosystem.

By leveraging TOGAF’s Architecture Development Method (ADM) in a tailored, lightweight form, the City can systematically plan, develop, operate, integrate, and continuously update these systems. Key benefits include enhanced alignment between business objectives (e.g., resident trust, fraud/waste/abuse mitigation, and seasonal operational efficiency) and technology investments; reduced silos through better interoperability and data flows; improved governance and risk management; and scalable modernization without overwhelming a small municipality’s resources.

This approach draws from proven public-sector and SME adaptations of TOGAF, focusing on prioritized phases like Preliminary (tailoring the framework), Business Architecture (defining processes and strategies), Information Systems (integrating applications and data), and Technology Architecture (supporting cloud, AI, and automation). It promotes agility, avoids proprietary lock-in, and supports long-term digital transformation—ultimately cascading improvements across Public Works, accounting, and City Council oversight for greater effectiveness, cost savings, and community value.

Critical Considerations. TOGAF can be a highly complex and large-scale framework that requires extensive resources to develop and maintain. However, small organizations, like the City’s government, can use it effectively if they focus on a lightweight and limited adoption of the framework. This tailored approach—often called “mini-TOGAF,” “simplified ADM,” or “lightweight TOGAF”—involves selectively applying core elements, such as the Preliminary Phase for customization, essential ADM cycles (e.g., focused on Business and Technology Architecture), and basic artifacts like capability maps, principles, and high-level blueprints, while skipping overly detailed deliverables.

Research and real-world examples from SMEs, startups, and local governments show that this reduces complexity, minimizes the learning curve, and avoids resource drain. For instance, organizations start small by addressing specific pain points (e.g., integrating management systems or modernizing Public Works assets), emphasize business value over theoretical rigor, and integrate with agile practices for iterative progress. Benefits include better alignment of IT with resident-focused goals, reduced silos, cost-effective modernization, and scalability as maturity grows—without the full overhead that suits larger enterprises. The Open Group itself supports such adaptations, noting TOGAF’s flexibility for small-to-medium entities and governments through modular configuration.

To succeed in St. Helena, begin with IT Manager/HR collaboration to tailor the framework during Phase 3, prioritize quick wins (e.g., cloud migrations and dashboards), and build internal capability gradually—ensuring the “system of systems” delivers tangible efficiency gains and community trust without overwhelming limited staff or budgets.

8.3. Comprehensive KPIs for Systems (C.3)

We recommend developing and implementing a comprehensive set of **Key Performance Indicators (KPIs)** tailored to each management system (Change Management, Customer Relationship Management, Quality Management, Asset Management, Talent Management, Knowledge Management, and ITIL 4). These KPIs should be integrated into the **City Council Executive Dashboard** and the overarching **system of systems** framework (using simplified TOGAF) to enable real-time monitoring, evidence-based decision-making, continuous quality improvement, and alignment with strategic goals such as resident trust, fraud/waste/abuse mitigation, operational efficiency, and seasonal service demands in a small municipality like St. Helena.

Best practices for small local governments emphasize **SMART** KPIs (Specific, Measurable, Achievable, Relevant, Time-bound) while limiting to **7-12 per system** to avoid data overload and focus on high-impact metrics. Balance leading

indicators (predictive, e.g., training completion rates) with lagging ones (outcomes, e.g., resident satisfaction scores), and incorporate efficiency, effectiveness, quality, and citizen experience dimensions.

Examples of targeted KPIs include:

- **Asset Management System** (critical for Public Works infrastructure): PM Compliance (% of scheduled preventive maintenance completed on time, target >95%), Facility Condition Index (deferred maintenance/replacement value, target <0.10), Reactive Maintenance Ratio (reactive/total maintenance, target <20%), and Mean Time Between Failures (MTBF) for key assets like water systems.
- **Customer Relationship Management (CRM) System**: Resident Satisfaction Score (via surveys, target >85%), Average Response Time to Inquiries (target <48 hours), Service Request Resolution Rate (% resolved on first contact), and Citizen Engagement Metrics (e.g., portal usage growth).
- **Quality Management System**: Continuous Improvement Initiatives Completed (annual target), Process Defect Rate Reduction, Audit Compliance Score, and Non-Conformance Resolution Time.
- **Talent Management System**: Employee Training Completion Rate, Turnover Rate (target <10%), Time-to-Hire for Key Positions, and Staff Satisfaction Survey Results.
- **Knowledge Management & Change Management Systems**: Policy Adherence Rate (tracked via dashboard), Knowledge Access/Usage Metrics, Change Adoption Rate (% of staff trained and implementing changes), and Incident Reduction Post-Change.
- **ITIL 4/IT Service Management**: Incident Resolution Time, Service Availability (% uptime, target >99%), Change Success Rate, and IT Cost per User.

Implementation should start in Phase 3 with IT Manager coordination, prioritizing quick-win metrics tied to high-leverage areas (e.g., Public Works and accounting integration). Use existing tools for data collection to minimize burden, review annually for refinement, and ensure KPIs cascade to City Council oversight for transparency and accountability. This approach drives measurable progress, fosters a culture of data-informed governance, and maximizes value from limited resources—ultimately enhancing effectiveness, efficiency, and community outcomes.

8.4. Comprehensive Executive Dashboard (C.4)

We recommend developing and implementing a **Comprehensive Executive Dashboard** as a centralized, real-time/near-time visualization tool to monitor organizational performance, policy adherence, strategic progress, and key operational metrics across all management systems (Change Management, CRM, Quality Management, Asset Management, Talent Management, Knowledge Management, and ITIL 4). Integrated within the simplified **TOGAF**-guided “system of systems” framework, this dashboard will empower City Council, leadership, and stakeholders with at-a-glance insights for informed decision-making, enhanced oversight, fraud/waste/abuse mitigation, and alignment with resident-focused goals like building community trust and addressing seasonal demands in St. Helena’s small-municipality context.

Drawing from best practices in local government (e.g., examples from cities like Minnetonka, Irving, Sugar Land, and Germantown), the dashboard should prioritize **simplicity, accessibility, and transparency**: Use clean, intuitive design with high-contrast visuals, limited KPIs (7–10 core per view), drill-down capabilities for details, narrative context/explanations for metrics, and regular updates to maintain credibility. Balance quantitative data (e.g., trends, targets) with qualitative elements (e.g., resident feedback) to tell a complete story without overwhelming users.

Key features and implementation considerations include:

- **High-level overview** on the homepage: Status indicators (green/yellow/red) for strategic pillars, budget utilization, and overall performance; include a brief intro/video explaining purpose and how to interpret data.
- **Customizable views**: Role-based access (e.g., Council-focused summaries vs. departmental details) with filters for departments (e.g., Public Works, Accounting) or time periods.

- **Core metrics tied to priorities:** Integrate KPIs from related systems, such as policy adherence rates, resident satisfaction scores, PM compliance in assets, response times in CRM, training completion in Talent Management, incident resolution in ITIL 4, and continuous improvement initiatives in Quality Management.
- **Real-time/near-real-time data:** Leverage existing tools and integrations (e.g., cloud-based solutions from Phase 2/3) for automated feeds, minimizing manual effort.
- **Transparency elements:** Highlight trends, variances, explanations for misses, and links to underlying reports/projects; include citizen-facing elements if appropriate to build trust.
- **Governance and maintenance:** Led by the IT Manager in coordination with HR and department heads; start with quick wins in Phase 3 (e.g., policy tracking, FWA controls, Public Works strategy), pilot with high-priority areas like accounting integration, and review/refine annually.

This dashboard will drive accountability, enable proactive issue resolution, support City Council oversight (as enhanced in Phase 1), and cascade improvements across the organization—ultimately delivering greater efficiency, cost savings, measurable progress toward maturity Level 3, and stronger community outcomes with minimal resource strain on a small city.

8.5. Business Process Reengineering (Targeted Level 3) (C.5)

We recommend continuing and advancing **Business Process Reengineering (BPR)** efforts to achieve **targeted Maturity Level 3** (Defined) under the **CMMI** (Capability Maturity Model Integration) framework, building directly on Phases 1 and 2 foundations. This progression shifts the City from reactive, project-level process management (Maturity Level 2) to proactive, organization-wide standardization—where processes are well-characterized, documented in standards/procedures/tools/methods, tailored to specific needs, and consistently applied across departments to achieve predictable outcomes, reduced variability, and alignment with strategic objectives like resident trust, fraud/waste/abuse mitigation, efficiency in seasonal operations (e.g., Public Works surges), and overall governance.

At CMMI Level 3 (Defined), the organization establishes **organizational standard processes** that guide all work, incorporate tailoring guidelines, contribute to and draw from shared assets (e.g., process repositories, templates), and focus on both project-specific and enterprise performance goals. This level emphasizes proactive risk management, integrated planning, and continuous refinement—critical for a small municipality like St. Helena facing resource constraints, interconnected services (e.g., accounting ties to multiple departments), and high-impact areas like water/wastewater and asset management. The prior efforts of System of Systems, KPIs for systems, and executive’s dashboard position the City to make the advancement to Level 3 maturity. Please note that in Phase 2, we recommended Level 3 targeted at accounting, but in this phase, we recommend the expansion of those efforts citywide.

Key implementation steps and focus areas include:

- **Leverage prior phases:** Build on As-Is/To-Be designs (Phases 1–2), integrating reengineered processes from accounting, Public Works long-term strategy (e.g., outsourcing options, preventative maintenance/predictive analytics), and IT/AI automation solutions.
- **Adopt CMMI-aligned practices:** Establish organizational process assets (e.g., via Knowledge Management System), define tailoring criteria for department-specific adaptations, implement integrated work management, and incorporate organizational training/process focus to institutionalize improvements.
- **Target high-leverage domains:** Prioritize Public Works (highest transformational potential due to volume/complexity/seasonality), accounting integration/automation, FWA controls, and cross-departmental flows to maximize cascading benefits.
- **Support with tools and governance:** Coordinate with IT Manager for cloud-based tools, TOGAF “system of systems” integration, and the Executive Dashboard for KPI tracking (e.g., process compliance, defect reduction, cycle time improvements).

- **Path to appraisal/certification:** Start with internal gap analysis and pilot implementations in Phase 3, gradually building evidence for a formal SCAMPI appraisal, while emphasizing practical, lightweight adoption suitable for small governments—focusing on value over bureaucracy.

This targeted Level 3 achievement will institutionalize reengineered processes organization-wide, drive measurable efficiency gains (e.g., reduced rework, faster service delivery), enhance accountability via dashboards and oversight, foster a culture of continuous quality improvement, and position St. Helena for sustainable, resident-centered operations with minimal added resource burden—ultimately delivering higher effectiveness, cost control, and community value in a resource-limited environment.

8.5.1. Seek Level 3 CMMI Certification (C.6)

We recommend pursuing formal Level 3 CMMI Certification (Defined maturity level) as a strategic milestone in Phase 3 to validate and institutionalize the City’s business process reengineering efforts. Achieving this certification—through a SCAMPI Class A appraisal—demonstrates that processes are standardized, documented, consistently applied organization-wide, and supported by shared assets, training, and governance. For a small municipality like St. Helena, this provides external credibility, enhances grant/funding competitiveness, strengthens resident and stakeholder confidence in efficient, accountable operations, and creates a sustainable framework for ongoing improvement.

8.6. Consider Levels 4 & 5 CMMI Maturity for Select Areas (C.7)

In the **Capability Maturity Model Integration (CMMI)** framework, achieving **Maturity Level 3 (Defined)** establishes organization-wide process standards, providing consistency and proactive management across projects and functions. This level often serves as a practical target for broad adoption, balancing structure with manageable overhead.

For **Levels 4 (Quantitatively Managed)** and **5 (Optimizing)**—collectively known as high maturity—full organization-wide implementation can be resource-intensive and unnecessary. These levels emphasize data-driven control (statistical techniques, predictive models) and continuous innovation (causal analysis, defect prevention), which deliver the greatest value when applied selectively to critical, high-impact areas.

Many organizations pursue high maturity only in targeted domains where variability reduction, predictability, and ongoing optimization yield measurable benefits. Therefore, we recommend that the City consider where these core and critical domains exist to target Quantitatively Management and Optimizing maturity levels. There are some clear candidates: water treatment, critical infrastructure, wildfire prevention, parts of accounting, capital assets, project over certain value thresholds, etc.

9.0 Conclusion

The City stands at a defining crossroads. This Efficiency and Business Transformation Study has provided a clear diagnosis of current operational realities and a comprehensive, actionable roadmap to achieve lasting excellence in municipal governance. Commissioned by city leadership, the study integrates findings from current-state assessments, organizational and staffing reviews, process improvement analysis, financial efficiency modeling, and technology modernization recommendations into a unified strategy that positions St. Helena for sustainable success.

The study reveals a municipality operating with predominantly reactive processes at CMMI maturity Levels 1–2, fragmented governance structures, compensation variances above market averages in several executive and mid-management positions, and underutilized technology assets. These challenges constrain capacity, limit visibility, and inflate costs. Yet they also represent a powerful platform for transformation. Through rigorous benchmarking, stakeholder workshops, and data-driven analysis, Blackberg has identified realistic opportunities to achieve annual cost savings, reallocations, and avoidance while improving efficiency and effectiveness. These gains arise from strategic salary alignment through natural attrition, staffing optimizations, business process reengineering, full cloud migration (including RIMS replacement), targeted partnerships, and automation—while simultaneously elevating service quality and resident experience.

The transformation is deliberately phased to build momentum while managing risk. Preparatory actions—launching a City Strategic Plan, strategic hiring of HR and IT Managers, RASCI rollout, Fraud/Waste/Abuse mitigation, and initial governance enhancements—establish the essential foundation of clarity, accountability, and leadership capacity. Phase 1 focuses on institutionalizing this foundation through customer-centered design, initial business process reengineering (targeting Level 2 maturity), talent management systems, records digitization, knowledge management, and cloud-first technology standards. Phase 2 drives deeper operational transformation, with continued reengineering to Level 3, a dedicated City Accountant role, integrated IT and AI automation, a comprehensive Public Works long-term strategy, preventative maintenance programs, and staffing efficiency gains. Phase 3 cements optimization through a fully integrated “system of systems” architecture (TOGAF), comprehensive KPIs, advanced dashboards, pursuit of CMMI Level 3 certification, and consideration of higher maturity levels in select areas.

Residents will experience faster, more consistent, transparent, and responsive services through standardized processes and digital self-service options. Staff will benefit from clearer roles and responsibilities, professional development pathways, reduced administrative burden, and a culture of continuous improvement—enhancing morale and retention. City Council and leadership will gain unprecedented real-time visibility and accountability tools through executive dashboards, enabling proactive governance. Technology modernization will strengthen data security, scalability, and interoperability while lowering long-term costs. Strategic partnerships will allow the City to leverage external expertise for specialized functions without compromising local control. Collectively, these changes will rebuild community trust, strengthen fiscal resilience, and position St. Helena as a model of efficient, effective, and citizen-centered local government in California.

Success depends on sustained leadership commitment, effective change management, and organization-wide engagement. The newly hired HR and IT Managers will serve as critical catalysts, while a Transformation Oversight Committee and quarterly City Council progress reviews will maintain momentum and accountability. Initial investments in talent, training, and technology (estimated \$80,000–\$120,000 annually) are more than offset by identified savings within the first two years. Annual updates to the City Strategic Plan and Transformation Roadmap will ensure the initiative remains responsive to emerging realities.

The City of St. Helena has already demonstrated vision and courage by commissioning this independent study. Now is the time to act decisively on its recommendations. By embracing this phased roadmap—with its emphasis on strategic alignment, modern management systems, talent development, and data-driven decision-making—St. Helena can convert current challenges into enduring strengths. The result will be a more efficient, effective, transparent, and resilient municipal government—one that honors its proud Napa Valley heritage while confidently building a brighter future for generations to come.

Appendix A: Business Process Management, Re-engineering, Continuous Improvement, and Dashboards

Note of Clarification: In the Appendix you will see section numbering of the format “A.#”. These do not reference the Transformation Roadmap’s alpha-numeric labels of similar format.

A.1. Purpose and Intended Outcomes

St. Helena’s next stage of transformation demands more than isolated “quick fixes” for individual problems. It calls for a comprehensive, repeatable framework capable of defining, measuring, sustaining, and continuously improving work across the entire organization—especially the complex workflows that cross departmental boundaries between Community Development, Finance, Public Works, the City Clerk’s office, and Administrative Services. Without such a system, even well-intentioned technology upgrades or staffing adjustments risk delivering only temporary relief while underlying inefficiencies persist.

Establishing a citywide Business Process Management (BPM) and Business Process Re-engineering (BPR) program delivers exactly this capability. It serves as the essential prerequisite for successful technology modernization. Automating a broken or poorly defined process does not solve problems—it simply accelerates failure, multiplies rework, heightens staff frustration, and wastes limited public resources. By contrast, a thoughtfully designed BPM/BPR program first stabilizes and standardizes core workflows, creating the disciplined foundation needed before layering on cloud systems, integration tools, predictive analytics, or responsible AI.

This section consolidates and significantly refines the recommendations originally introduced in prior deliverables—most notably Deliverable 3B (Process Improvement and Efficiency Potential)—and fully aligns them with the phased transformation roadmap outlined in Deliverable 4. It draws directly on insights from Deliverable 2 (Information & Insight Analysis), which highlighted the City’s predominantly reactive management culture, and from Deliverable 3B, which quantified the operational drag caused by inconsistent processes.

As documented across those earlier analyses, the City currently operates with a management approach shaped by inconsistent processes, informal communication pathways, limited routine performance measurement, and a high dependency on individual knowledge and “heroics.” This reality creates significant variability in service delivery, constrains operational capacity during peak periods or staff absences, and elevates organizational risk whenever turnover occurs or workloads surge unexpectedly. A right-sized BPM/BPR program combined with a practical continuous improvement capability changes this dynamic permanently. It provides the missing management system that makes process performance visible on a daily basis, systematically reduces rework and avoidable variation, and ensures hard-won gains are sustained over time rather than fading after the next budget cycle or staff transition.

The program is deliberately scaled to St. Helena’s size and resources. It does not introduce unnecessary bureaucracy or layers of oversight. Instead, it focuses on making expectations explicit, assigning clear accountability, installing lightweight controls that leaders can use, and giving every department the tools to manage by facts instead of by exception or crisis. When fully implemented across the three-phase roadmap, the results will be both immediate and enduring.

Key Outcomes – The City will realize four interconnected benefits that directly support its broader goals of fiscal sustainability, service excellence, and long-term resilience:

- **Enhanced Experience:** Residents and businesses will benefit from faster cycle times, clearer communication at every step, and consistent service levels across all departments. Permitting, service requests, public records responses, and financial transactions will move from unpredictable to reliable, building greater trust and satisfaction in the community.
- **Increased Capacity:** The City will be able to scale operations effectively without requiring proportional headcount growth. By systematically eliminating rework and avoidable variation, departments will unlock substantial hidden

capacity—projected to generate approximately \$625,000 in annual efficiency gains once foundational improvements are in place—freeing staff time for higher-value work and better resident support.

- **Reduced Risk:** Clearer controls, standardized documentation, and explicit accountability will strengthen compliance, lower liability exposure, and reduce the risk of errors or oversights during periods of staff transition or workload spikes. This creates a more resilient organization that can withstand turnover and external pressures with confidence.
- **Future Readiness:** The program establishes a stable, mature process environment that serves as the essential foundation for successful automation, cloud migration, system integration, predictive analytics, and responsible AI adoption. Technology investments will no longer risk amplifying existing problems; instead, they will multiply the City’s effectiveness and position St. Helena as a model for small-city excellence in California.

Together, these outcomes represent a fundamental shift from reactive, person-dependent operations to a proactive, visible, and continuously improving management system. The pages that follow translate this vision into a complete, practical playbook—complete with governance structures, maturity targets, prioritization tools, a repeatable seven-step improvement method, templates, training plans, and tight integration with the City’s technology, talent, and Public Works strategies. When embraced across the organization, this framework will not only solve today’s challenges but will also equip St. Helena to thrive for decades to come.

A.2. Establish a Citywide BPM/BPR program (Maturity Level 2 to Level 3)

Current assessments, grounded in a CMMI-inspired maturity framework, confirm that the vast majority of City processes currently operate between Maturity Level 1 (Initial) and Level 2 (Managed). Service delivery continues to rely heavily on individual “heroics,” deep institutional knowledge held by long-tenured staff, and informal workarounds rather than clearly defined, repeatable, and standardized systems. While this approach has allowed the City to function effectively during periods of stability, it creates significant vulnerability: performance becomes inconsistent, cycle times fluctuate unpredictably, rework is hidden but pervasive, capacity is artificially constrained, and institutional risk rises sharply whenever key personnel depart, workloads surge, or external pressures intensify.

The central recommendation is therefore straightforward yet foundational: the City should establish a right-sized, sustainable BPM and BPR program explicitly designed to move priority workflows from their current largely informal, person-dependent state toward repeatable, measurable, continuously monitored, and systematically improved execution. The target is to achieve broad Level 2 capability across the organization within the first 12–18 months (Phase 1 and early Phase 2) and then institutionalize Level 3 (Defined) maturity for core processes by the end of Phase 3.

In practical terms, this recommendation forms the **process-management backbone** of the entire Deliverable 4 transformation roadmap. Every other initiative—cloud migration, system integration, predictive analytics, responsible AI adoption, Public Works long-term strategy, talent management system, fraud-waste-abuse mitigation, and enhanced Council oversight—depends on the existence of stable, well-documented, and measured processes. Without this foundation, technology simply accelerates existing problems rather than solving them.

Maturity Assessment Snapshot

The City’s current process maturity was evaluated using a CMMI-based framework across six core dimensions:

1. Process ownership
2. Documentation and standardization
3. Process controls
4. Measurement and performance management
5. Cross-department integration

6. Continuous improvement and innovation

The assessment revealed the following department-specific patterns:

- **Public Works** (Service Delivery, Development Services, Capital Projects Delivery): Ownership and documentation generally sit at Level 2, reflecting named leads and some existing procedures. However, controls, measurement, cross-functional integration, and continuous improvement remain predominantly at Level 1, meaning day-to-day execution still depends heavily on individual judgment and tribal knowledge.
- **Community Development**: Performs closest to Level 2 across all six dimensions. Regulatory and customer-facing requirements have naturally driven stronger structure, clearer documentation, and more consistent handoffs—although measurement and formal continuous improvement mechanisms are still underdeveloped.
- **Administrative Services – Finance**: Generally Level 2 for ownership, documentation, cross-functional integration, and elements of continuous improvement. Process controls and routine performance measurement, however, often remain closer to Level 1 in day-to-day execution, particularly in areas involving manual reconciliations, exception handling, and inter-departmental approvals.

Overall, the City sits firmly in the Level 1–2 range organization-wide. Service delivery continues to rely more on the performance and availability of talented individuals than on standardized systems, governance, or repeatable routines.

The Goal: From Level 1–2 to Level 2–3 Is Not Bureaucracy—It Is Clarity and Control

Advancing to Level 2–3 maturity does **not** mean introducing layers of unnecessary red tape, excessive approvals, or rigid command-and-control structures. Quite the opposite: the intent is to replace ambiguity and variability with **explicit expectations, lightweight but effective controls, and visible performance information** so that leaders at every level can manage proactively by facts rather than reactively by exception or crisis.

Key elements of this advancement include:

- **Implement a lightweight Daily Management System (DMS)** — consisting of tiered daily/weekly huddles, simple visual management boards (MESS-style readiness indicators), standardized issue tracking, and clear escalation routines. This shifts the organization from reactive firefighting to proactive management of normal work and exceptions alike.
- **Establish a focused portfolio of priority, end-to-end processes** at Level 2 maturity — mapped using SIPOC diagrams and detailed swimlane process maps — then decompose high-complexity processes into departmental subprocesses at Level 3 depth where required for compliance, risk management, or training consistency.
- **Define and operationalize performance measures and dashboards** at three distinct tiers:
 - **Tier 1 (Executive / Council)**: high-level outcome measures (resident satisfaction, overall cycle-time trends, backlog health, aggregate efficiency gains)
 - **Tier 2 (Departmental)**: operational control metrics (workload balance, response-time SLAs, exception rates)
 - **Tier 3 (Process Owner)**: detailed process health indicators (step-level cycle time, rework percentage, first-time-right rate) with a disciplined monthly review cadence tied to the BPM Steering Committee.
- **Integrate structured change management and internal capability building** — including standardized templates (charter, SIPOC, swimlane, RASCI, issue log), targeted training modules (BPM 101, mapping workshops, root-cause analysis), and ongoing coaching — so the approach becomes repeatable, transferable, and independent of any single champion or consultant.

Phased Rollout Strategy

The program is deliberately staged to deliver quick credibility while building lasting institutional capability:

- **Phase 1 (Months 0–12):** Launch governance (Steering Committee, Process Owners, BPM/CI Lead role), establish standards and templates, stand up foundational DMS elements, and execute 1–2 high-visibility pilot processes (recommended: permitting end-to-end and citizen service requests). Goal: prove the method works, generate visible wins, and build internal advocates.
- **Phase 2 (Months 12–24):** Scale to a prioritized portfolio of 4–6 additional processes (accounts payable/purchasing, work-order management, public records, preventive maintenance planning), deepen Level 3 elements in high-risk areas, integrate tightly with IT/cloud/AI initiatives, and embed routine performance reviews and continuous improvement cadences.
- **Phase 3 (Month 24+):** Institutionalize Level 3 maturity across core workflows through a searchable citywide process library (SharePoint or equivalent), formal sustainment reviews every six months, annual maturity reassessment, and pursuit of external CMMI Level 3 validation in selected domains (permitting, finance controls, public works operations) to demonstrate long-term commitment to excellence.

This structured progression ensures momentum builds steadily: early pilots create belief, mid-term scaling delivers scale, and late-phase institutionalization locks in the gains for the long run.

By treating process management as a core operating discipline rather than a temporary project, St. Helena will move from a reactive, person-dependent organization to one that is deliberate, visible, resilient, and continuously improving—precisely the foundation needed to realize the full value of the broader transformation agenda.

A.3. BPM Maturity Model and Target State

To guide implementation, maintain realistic expectations, and provide a clear roadmap for progress, the City of St. Helena should adopt a simple, three-level BPM maturity progression tailored specifically to its size, resources, and operational context. The objective is deliberate and achievable: move the organization from its current state of ad-hoc knowledge, variable execution, and heavy reliance on individual expertise to a future state of defined, owned, measured, and continuously improved processes that deliver consistent, visible, and sustainable results.

This maturity model is not theoretical—it is a practical navigation tool. It allows leadership to track advancement, celebrate incremental wins, identify remaining gaps, and make informed decisions about resource allocation and technology investments. By anchoring every BPM/BPR wave, training session, and dashboard to these levels, the City ensures that improvement efforts remain focused, measurable, and aligned with the broader Deliverable 4 transformation roadmap.

The model is built on the same six assessment dimensions used in the original maturity evaluation: process ownership; documentation and standardization; process controls; measurement and performance management; cross-department integration; and continuous improvement and innovation. Each level represents a meaningful step forward in organizational capability.

Table 1 – BPM Maturity Model (St. Helena)

Dimension	Level 1 – Initial (Current Baseline)	Level 2 – Managed (Phases 1 & 2 Target)	Level 3 – Defined (Phase 3 Target)
Process Ownership	Tribal; heavily dependent on individuals and institutional memory	Named end-to-end process owners established for priority workflows	Citywide process library with single source of truth and clear accountability
Documentation & Standardization	Limited, outdated, or exists only in individual heads	Standard SIPOC diagrams, swimlane maps, and basic SOPs in place	Fully standardized policies, swimlanes, SOPs, forms, and templates used consistently citywide
Process Controls	Controls vary by person or team; enforcement inconsistent	Defined control points, handoffs, and basic checks documented	Consistent decision rules, automated alerts, and standardized escalation paths

Measurement & Performance Management	Sparse or activity-only metrics; little trending or review	Baseline cycle-time, quality, and volume metrics established and reviewed regularly	Comprehensive, tiered dashboards used for daily/weekly management and decision-making
Cross-Department Integration	Informal pathways and ad-hoc coordination	Documented handoffs and RASCI matrices for cross-functional workflows	Fully aligned end-to-end processes with clear escalation and governance
Continuous Improvement	Reactive fixes only; no structured approach	Basic issue tracking, root-cause analysis, and simple improvement routines	Routine CI cadence embedded in management systems with documented lessons learned and sustainment

Practical Targets by Phase

The maturity progression is intentionally staged to build momentum while managing risk and resource demands. Each phase has clear, measurable targets that align with the overall transformation timeline.

Table 2 – Practical Maturity Targets by Phase

Phase	Timeframe	Primary Focus	Maturity Target	Key Deliverables & Success Indicators
Phase 1	Months 0–12	Foundation building and proof of concept	Establish Level 2 capability for a small portfolio of priority processes	Governance in place; 1–2 pilots completed; DMS launched; initial dashboards live; visible quick wins achieved
Phase 2	Months 12–24	Scaling and deepening	Expand Level 2 across the organization and introduce core Level 3 elements	Process library populated; standards and RASCI matrices citywide; cross-department alignment achieved; routine reviews established
Phase 3	Month 24 onward	Institutionalization and continuous improvement	Institutionalize Level 3 across all core workflows and embed CI into normal operations	Full process library in daily use; Level 3 maturity sustained; CMMI Level 3 certification pursued in high-impact areas; culture of improvement embedded

Phase 1 focuses on proof and repeatability. The City will stand up governance, create foundational templates, launch a lightweight Daily Management System, and complete 1–2 high-visibility pilot processes (such as permitting and service requests). Success is measured by the ability to move these workflows to Level 2 maturity and demonstrate tangible improvements in cycle time, rework reduction, and staff confidence.

Phase 2 shifts to scaling. The City will expand Level 2 capability across a broader portfolio while introducing Level 3 elements—including a centralized process library, citywide standards, and stronger cross-department alignment. Technology integration (eTRAKiT enhancements, Springbrook automation, predictive maintenance tools) will be tightly linked to process redesign so that systems support standardized work rather than work around it.

Phase 3 cements the new operating model. Level 3 maturity will be fully institutionalized across core workflows, continuous improvement will become part of the normal management rhythm, and the City will pursue external validation (CMMI Level 3 certification in selected domains) to demonstrate long-term commitment. At this stage, process performance will be visible, predictable, and continuously improving—creating the stable platform required for advanced AI applications and sustained fiscal resilience.

This maturity progression and phased targeting provide the City with a clear, shared language for progress. Every department head, process owner, and staff member will understand exactly where the organization stands today and what success looks like tomorrow. The model is simple enough to communicate in a single meeting yet robust enough to guide multi-year transformation. When combined with the governance structure, scoring rubric, and seven-step improvement method outlined in the following sections, it becomes the compass that keeps the entire BPM/BPR program on course.

By committing to this structured journey from ad-hoc execution to defined, owned, measured, and continuously improved processes, St. Helena will move from a reactive organization that manages by exception to a proactive, resilient, and high-

performing municipality that manages by facts—and delivers consistently excellent service to its residents for decades to come.

A.4. BPM governance and operating model

Successful Business Process Management does not happen by accident or through isolated projects. It thrives only when it is treated as a permanent operating discipline woven into the daily fabric of how the City runs its business. For the City of St. Helena, this requires implementing lightweight governance with clear accountability, decision rights, and practical operational enablers that are deliberately scaled to the City's size and resources. The structure must be formal enough to survive staff turnover and changing priorities, yet flexible enough to avoid creating bureaucracy or slowing down service delivery.

The recommended governance model has been designed specifically for St. Helena. It provides the discipline needed to keep improvement work aligned with City Council priorities and the broader Deliverable 4 transformation roadmap, while remaining practical and sustainable for a small municipality. The model rests on four interconnected components that function together as a cohesive system.

The BPM Steering Committee serves as the executive governing body. Chaired by the City Manager (or designee), its membership includes all Department Heads and the BPM/Continuous Improvement Lead. This committee sets the annual portfolio of priority processes, removes cross-departmental barriers, approves significant investments or policy changes, resolves conflicts, and regularly reviews the benefits and return on investment achieved through BPM activities. During the critical launch period in Phase 1, the committee meets monthly to maintain strong momentum. As the program matures in Phases 2 and 3, the cadence shifts to bimonthly or quarterly while still ensuring high-level visibility and accountability.

Process Owners form the operational heart of the governance model. For each priority workflow, a named individual—typically a department director or senior manager—is assigned end-to-end accountability. This role includes maintaining current documentation, monitoring performance against established metrics, managing handoffs with other departments, leading corrective action when variation occurs, and coordinating any technology enhancements or automation opportunities. Process Owners act as the primary champions and day-to-day stewards of their workflows, bridging the gap between strategic direction and frontline execution.

The BPM / Continuous Improvement Lead acts as the central facilitator and program manager. This position, recommended as a part-time role that can be effectively combined with the program management office outlined in Deliverable 4, is responsible for maintaining standards and templates, organizing and facilitating mapping workshops, delivering training, managing the central process repository, tracking program-wide benefits, and providing coaching to Process Owners and improvement teams. The Lead ensures methodological consistency across all waves and serves as the institutional memory for process improvement practices.

Cross-Functional Improvement Teams are the delivery engine of the program. These time-bound, cross-functional groups are assembled for each specific improvement wave. Typical membership includes frontline staff who perform the work daily, supervisors, upstream and downstream stakeholders, and representatives from enabling functions such as IT, Finance, or Records when needed. Their mandate is focused and practical: analyze the current state, design an improved future state, develop implementation and training plans, pilot the new processes, and support stabilization until the Process Owner assumes full ownership.

Table 3 – BPM Governance and Operating Model

Component	Primary Purpose	Key Responsibilities	Decision Rights	Typical Cadence
BPM Steering Committee	Executive oversight and strategic alignment	Set priorities, remove barriers, approve investments, review benefits	Approve new waves, resource allocation, policy changes	Monthly (Phase 1), then bimonthly
Process Owners	End-to-end workflow performance	Maintain documentation, monitor metrics, manage handoffs, lead corrective action	Approve changes within their process; escalate major issues	Weekly with teams, monthly reporting
BPM / CI Lead	Program coordination and capability building	Maintain templates, facilitate workshops, manage repository, deliver training	Establish standards and methodologies	Daily operational, weekly coaching
Improvement Teams	Design and implement specific improvements	Map processes, analyze root causes, design future state, support pilot rollout	Develop recommendations for process redesign	Weekly during active wave

This governance structure is intentionally lightweight but formal enough to maintain continuity through staffing changes and to ensure that all process improvement work remains aligned with Council and executive priorities. By clearly defining roles and decision rights from the outset, the City eliminates much of the ambiguity and stalled momentum that frequently undermine improvement efforts in small organizations.

Operational Enablers

To make the governance model function effectively daily, the City should establish three essential operational enablers:

First, **a centralized, searchable process repository**. Microsoft SharePoint (or an equivalent secure and user-friendly platform the City already uses) will serve as the single source of truth. This repository will house all SIPOCs, detailed swimlane maps, standard operating procedures (SOPs), forms, templates, RASCI matrices, and performance dashboards. Making the repository intuitive and searchable ensures staff can quickly access the latest version of any process rather than relying on email attachments or personal knowledge.

Second, **a living citywide process inventory**. The BPM Lead will maintain a master list of all key processes, their current maturity level, assigned Process Owner, last review date, and scheduled next improvement wave. This inventory provides leadership with clear visibility and prevents important processes from falling through the cracks during periods of change or resource constraints.

Third, the systematic use of the **RASCI framework** (Responsible, Accountable, Support, Consult, Inform) for every cross-departmental workflow. This simple yet powerful tool brings clarity to roles and dramatically reduces confusion, delays, and finger-pointing. For example, in the service request process, the RASCI matrix clearly identifies who is Responsible for initial triage, who is Accountable for final resolution, and who must be Consulted from Public Works or Finance.

When fully operational, this governance and operating model will transform BPM from an abstract recommendation into a sustainable, living discipline that is deeply integrated into how St. Helena manages its services. It provides the structure, accountability, and support mechanisms needed to move from reactive, person-dependent operations to a proactive, visible, and continuously improving organization—creating the strong foundation required for all other elements of the transformation to succeed.

A.5. Roles and responsibilities

Clear, well-defined roles are the foundation of any successful BPM/BPR program. Without them, even the best-designed governance model and maturity framework will falter under the pressures of day-to-day municipal operations. For the City of St. Helena, the roles outlined below have been intentionally designed to be practical, scalable, and sustainable for a

community of approximately 5,300 residents. They distribute accountability appropriately while avoiding unnecessary layers of bureaucracy. Each role is tied directly to the governance structure in A.4, the maturity progression in A.3, and the seven-step improvement method in A.7, ensuring the entire program operates as a cohesive system rather than a collection of disconnected activities.

The four core roles work together in a clear hierarchy: the BPM Steering Committee provides strategic direction and removes barriers at the executive level; Process Owners serve as the operational stewards of individual workflows; the BPM/Continuous Improvement Lead acts as the central coordinator and capability builder; and Cross-Functional Improvement Teams deliver the actual redesign and implementation work in focused waves. This structure creates continuity through staff changes, aligns all efforts with City Council and executive priorities, and ensures that process improvement becomes an embedded operating discipline rather than a temporary project.

BPM Steering Committee (Executive Governance) The Steering Committee is the strategic oversight body that ensures the BPM program remains aligned with the City’s overall vision, fiscal realities, and resident priorities. Its purpose is to set the annual portfolio of priority processes, remove cross-departmental barriers, approve significant investments or policy changes, monitor program-wide outcomes, and celebrate successes. Membership is intentionally compact and senior: the City Manager (or designee) serves as chair, joined by all Department Heads and the BPM/Continuous Improvement Lead. This composition guarantees that decisions reflect both operational realities and executive accountability.

During the critical launch period in Phase 1, the Committee meets monthly to maintain momentum and address any early obstacles. As the program matures in Phases 2 and 3, the cadence shifts to bimonthly or quarterly while still including a standing agenda item on BPM health (maturity progress, benefits realized, and risks). The Committee also serves as the escalation point for major issues that cross departmental lines and is responsible for ensuring that BPM efforts directly support the City Strategic Plan and the broader Deliverable 4 transformation roadmap.

Process Owners (Operational Accountability) Process Owners are the backbone of day-to-day execution. Each priority workflow receives one named owner—typically a department director or senior manager—who holds end-to-end accountability for performance, including cross-department handoffs. This role is not ceremonial; it carries real responsibility. Process Owners maintain current and future-state documentation, monitor performance against defined metrics, ensure role clarity through RASCI matrices, own corrective actions when variation occurs, coordinate implementation of improvements, and lead sustainment efforts after each wave is complete. They also serve as the primary liaison with the BPM/Continuous Improvement Lead and represent their process during Steering Committee reviews and technology integration discussions.

Because Process Owners are drawn from existing leadership ranks, the role builds internal ownership and reduces dependency on external consultants. In practice, a Process Owner for the permitting workflow, for example, would review weekly cycle-time dashboards, facilitate monthly huddles with the improvement team, update the RASCI matrix when eTRAKiT enhancements are introduced, and escalate unresolved inter-departmental bottlenecks to the Steering Committee. This hands-on accountability is what transforms processes from “someone else’s problem” into owned, measurable, and continuously improving assets.

BPM / Continuous Improvement Lead (Program Management and Capability Building) The BPM/CI Lead is the central facilitator and keeper of the program’s standards. Recommended as a part-time effort that can be effectively combined with the new program management office outlined in Deliverable 4, this individual coordinates the entire BPM portfolio, maintains citywide standards and templates, manages the central process repository (SharePoint), tracks program-wide benefits, and provides coaching to Process Owners and improvement teams. The Lead also facilitates mapping and redesign workshops, delivers training in improvement methods, supports dashboard development, and ensures methodological consistency across all waves.

This role is deliberately positioned as a capability builder rather than a doer. The Lead does not own individual processes—that responsibility rests with Process Owners—but instead equips the organization with the tools, knowledge, and support needed to succeed independently. In a small-city context like St. Helena, the Lead also serves as the institutional memory

for process improvement practices, ensuring that lessons learned in one wave are applied to the next and that the program remains sustainable even during periods of staff turnover.

Cross-Functional Improvement Teams (Delivery Mechanism) Improvement Teams are the engine that turns strategy into reality. These are time-bound, cross-functional groups assembled specifically for each improvement wave. Membership is drawn from the people who actually perform the work daily (process participants), plus supervisors, upstream and downstream stakeholders, and enabling functions such as IT, Finance, or Records as needed. Their mandate is focused and time-limited: analyze the current state, design an improved future state, develop implementation and training plans, support the pilot rollout, and deliver stabilized standard work that the Process Owner can sustain.

Teams typically operate for 6–10 weeks per wave, meeting weekly during active phases. Because they include frontline staff, the solutions they develop are practical and grounded in real operational knowledge. Once the new process is stabilized and handed over to the Process Owner, team members return to their regular duties—keeping the model lightweight and respectful of existing workloads.

Table 4 – Summary of Roles and Responsibilities

Role	Primary Focus	Key Responsibilities	Reporting / Escalation Path	Time Commitment (Typical)
BPM Steering Committee	Strategic oversight & alignment	Set priorities, remove barriers, approve investments, review benefits	Reports to City Council (summary level)	Monthly meetings + ad-hoc
Process Owners	End-to-end workflow performance	Maintain documentation, monitor metrics, manage handoffs, lead corrective action	Reports to Steering Committee	4–8 hours/month per process
BPM / CI Lead	Program coordination & capability	Maintain templates, facilitate workshops, manage repository, deliver training	Reports to City Manager	Part-time (20–30 hours/month)
Cross-Functional Improvement Teams	Design & implement specific waves	Map processes, analyze root causes, design future state, support pilot rollout	Reports to Process Owner & BPM Lead	4–6 hours/week during active wave

This clear division of roles creates a balanced system in which strategic direction flows downward, operational accountability flows upward, and practical delivery happens at the team level. The structure is formal enough to survive staffing changes yet flexible enough to adapt as the City grows or new priorities emerge. When these roles are filled with committed individuals and supported by the templates, training, and repository described elsewhere in this appendix, the BPM program will shift from a collection of good intentions to a reliable, repeatable operating discipline that delivers measurable results year after year.

A.6. Selecting and Sequencing Processes

A BPM program is only effective if it concentrates its limited resources on the small number of workflows that drive the greatest impact for residents, businesses, and the organization as a whole. Attempting to improve every process at once would spread staff time and attention too thinly, risk shallow progress, and potentially lead to change fatigue across departments. For the City of St. Helena, success therefore depends on maintaining a living process inventory and applying a simple, transparent scoring model to determine which processes enter the improvement pipeline and in what sequence. This disciplined approach ensures that early efforts generate visible, meaningful wins that build credibility, create momentum, and demonstrate the value of the entire transformation program.

The process inventory serves as the central strategic tool for the BPM program. It is a dynamic catalog of all significant workflows across every department, regularly updated by the BPM/Continuous Improvement Lead and formally reviewed by the Steering Committee at the beginning of each phase. The inventory includes basic information such as process name, primary owner, current maturity level, last review date, and current performance metrics. Far from being a static list, it

becomes a living decision-making instrument that gives leadership clear visibility into where the greatest opportunities and risks lie.

To prioritize effectively, the City will apply a straightforward seven-dimension scoring model. Each dimension is scored from 0 to 10 by the BPM Lead and the relevant Process Owner. The total score, combined with qualitative strategic judgment by the Steering Committee, determines which processes move forward and when.

Table 5 – BPM Process Scoring Model (0–10 Scale)

Dimension	Description	High Score Indicators (7–10)	St. Helena Example
Resident/Business Impact	Degree to which the process directly affects residents and businesses	Core “moment that matters” that shapes daily public experience	Permitting
Cycle Time and Backlog	Current speed of completion and size of existing backlog	Chronic delays or growing backlog that frustrate customers	Service Requests
Rework/Error Rate	Frequency of errors, rework, exceptions, or complaints	High error rates that waste time and erode confidence	Accounts Payable
Cross-Department Complexity	Number of departments and handoffs involved	Multiple departments with frequent coordination challenges	Capital Project Delivery
Cost/Capacity Leverage	Potential for significant efficiency gains or capacity release	High-volume or high-cost processes with large upside potential	Preventive Maintenance
Risk/Compliance Exposure	Potential legal, financial, safety, or regulatory risk	High exposure to liability, audits, or safety issues	Water and Wastewater Operations
Technology Readiness	Ease of integration with current or planned systems and AI tools	Existing systems in place that can be leveraged for automation	Work Orders

In addition to quantitative scoring, the process inventory should categorize workflows into three strategic groups. This categorization ensures balanced coverage and prevents the program from becoming skewed toward any single type of work:

(a) Resident-facing “moments that matter” — processes that residents and businesses interact with frequently and directly (examples: permitting, service requests, inspections, public records responses). Improvements here have the greatest immediate effect on public perception and satisfaction.

(b) High-volume internal services — back-office processes that occur repeatedly and consume substantial staff time (examples: accounts payable, purchasing, payroll processing, hiring, budget adjustments). These workflows typically deliver the largest capacity and cost-saving opportunities.

(c) High-risk operational processes — mission-critical functions where failure carries heavy financial, safety, compliance, or reputational consequences (examples: water and wastewater preventive maintenance, asset management, capital project delivery). These processes protect the City’s long-term infrastructure and fiscal health.

As highlighted in Deliverable 3B, several enterprise-wide themes recur across nearly all of these workflows: insufficient process documentation, limited performance visibility, fragmented interdepartmental coordination, and limited continuous improvement capability. Because these issues are systemic rather than isolated, the sequencing strategy must be deliberate. Phase 1 should deliberately include at least one cross-department workflow and one operations-focused workflow. This balanced mix proves that the governance model, templates, measurement systems, and change management practices work effectively in both customer-facing and internal contexts, while generating early wins that build staff confidence and leadership support.

Table 6 – Illustrative Process Portfolio and Wave Plan *(final selection and exact sequencing to be confirmed by the BPM Steering Committee using current scoring data and strategic priorities)*

Process	Category	Est. Score	Cross-Department	Recommended Wave	Primary Owner	Expected Major Benefit	Technology / AI Opportunity
Permitting (intake to issuance)	Resident-facing	68	High	Phase 1 Pilot	Community Development	Faster approvals, higher satisfaction	eTRAKiT enhancements + AI routing

Service Requests	Resident-facing	62	Medium	Phase 1 Pilot	Public Works / City Clerk	Reduced backlog, quicker response times	Automated work-order dispatch
AP + Purchasing	High-volume internal	55	High	Phase 2	Administrative Services	Cost savings, fewer manual errors	Springbrook AI invoice coding
Work Orders + Dispatch	High-risk operational	61	Medium	Phase 2	Public Works	Better asset life, less reactive work	Predictive maintenance
Public Records Requests	Resident-facing	52	Medium	Phase 2	City Clerk / Legal	Improved compliance, faster turnaround	Next Request + Laserfiche integration
Preventive Maintenance Planning	High-risk operational	58	Medium	Phase 3	Public Works	Reduced breakdowns, extended asset life	Predictive analytics
Budget Adjustments	High-volume internal	47	Medium	Phase 3	Administrative Services	Stronger financial controls and oversight	Integrated financial dashboard

A.7. Right-Sized BPM/BPR Method

Each improvement “wave” in the City’s BPM program must follow a repeatable, disciplined method that is rigorous enough to produce measurable, sustainable results while remaining practical and respectful of the daily workloads of City staff. The method is deliberately streamlined for St. Helena’s size and resources, yet robust enough to avoid the common pitfalls that have caused many municipal improvement efforts to stall or fade away after the initial enthusiasm. By following a consistent approach, the City ensures that every process redesign delivers real value, builds internal capability, and contributes directly to the overall maturity progression from Level 1–2 to Level 3.

The method explicitly addresses three failure modes that are particularly common in public-sector process improvement initiatives. First, redesigning processes without establishing reliable baseline data — making it impossible to objectively confirm whether changes actually delivered improvement or simply shifted problems elsewhere. Second, documenting steps without clarifying decision rules, controls, and handoffs — which leaves too much room for individual interpretation and preserves the very variation the City is trying to eliminate. Third, implementing new technology or automation before stabilizing the underlying process — which risks automating confusion, embedding errors deeper into the system, and creating new frustrations for both staff and residents.

To prevent these pitfalls, every wave begins with a clear baseline of current performance (cycle time, backlog size, rework rate, first-time-right percentage, and customer touchpoints) wherever data can be collected or reasonably estimated. Teams also define “normal versus abnormal” operating conditions early and identify the minimum set of preventive controls needed to reduce avoidable defects and delays. This disciplined foundation ensures that improvements are data-driven, sustainable, and fully aligned with the City’s broader transformation goals.

The Five-Step Repeatable BPM/BPR Method

The City will use the following five-step method for every improvement wave. It is intentionally practical and time-boxed (typically 6–10 weeks) so that small cross-functional teams can complete the work while continuing their regular duties. The steps are:

1. **Define and Baseline**
2. **Diagnose**
3. **Design**
4. **Implement**
5. **Sustain**

Step 1: Define and Baseline The team begins by clearly defining the process scope using a SIPOC diagram and establishing firm start and end triggers. Critical baseline metrics are collected or estimated so that improvement can later be proven objectively. This step creates the “before” picture that makes success measurable and prevents redesigns based on assumptions rather than facts.

Step 2: Diagnose Using the current-state swimlane map, the team identifies pain points, variation sources, waste, and root causes. Simple but powerful tools such as the 5 Whys and waste analysis are applied. Special attention is given to clarifying decision rules, control points, and cross-department handoffs that currently allow inconsistency to persist.

Step 3: Design The future-state process is designed with clear roles (via RASCI), standardized decision rules, built-in preventive controls, and streamlined flow. Automation opportunities are identified but only after the process logic has been stabilized. The design prioritizes simplicity, resident experience, and staff usability so that the new process is both effective and sustainable.

Step 4: Implement A detailed implementation plan is executed, including training, policy updates, system configuration, communication, and a controlled pilot. Daily Management System elements (tiered huddles and visual boards) are introduced to support the transition and help staff quickly distinguish normal from abnormal conditions.

Step 5: Sustain Performance is monitored at 30, 60, and 90 days post-go-live. Corrective actions are taken as needed. The updated process documentation, SOPs, and dashboards are finalized and added to the central repository. A six-month sustainability review is scheduled with the Process Owner to confirm that gains are holding and to capture lessons learned for future waves.

Table 7 – Standard Outputs for Each Priority Process

Output	Description	Purpose / How It Prevents Failure Modes
SIPOC and Boundary Definition	High-level map showing Suppliers, Inputs, Process, Outputs, Customers	Clearly defines scope and prevents scope creep or vague boundaries
Current-State Swimlane Map	Detailed visual map of the existing process	Reveals hidden handoffs and variation that baseline data alone misses
Future-State Design	Improved process map with clarified rules and controls	Ensures decision rules and controls are explicit, not assumed
Mini-SOP / Standard Work	Concise written instructions including forms and service levels	Provides repeatable guidance so the process does not depend on individuals
RASCI Matrix	Role clarity for each key step (Responsible, Accountable, Support, Consult, Inform)	Eliminates confusion in cross-department handoffs
Implementation Plan	Training, communication, system changes, and rollout schedule	Ensures controlled rollout and prevents premature technology changes
Dashboard Definitions	Baseline and target metrics with review cadence	Makes impact measurable and visible so success can be proven
Benefits Summary	Quantified resident, operational, and financial outcomes	Documents value and supports leadership reporting and sustainment

These standard outputs are required for every priority process. They are stored in the central SharePoint repository so that any staff member can quickly access the latest version. Templates and examples for each output are provided by the BPM/Continuous Improvement Lead and refined after the first two pilot waves.

This repeatable method, supported by the standard outputs above, ensures that every improvement wave is consistent in quality and approach. It directly supports the City’s journey from Maturity Level 1–2 to Level 3 while systematically avoiding the three most common failure modes that have undermined past efforts in similar municipalities.

A.8. Continuous Improvement System

Business Process Re-engineering (BPR) delivers the step changes that move the City from its current informal, variable state to a new level of performance. Continuous Improvement (CI) is what prevents those gains from eroding and enables the organization to learn, adapt, and keep getting better over time. For St. Helena, a lightweight, practical CI system is therefore not an optional add-on — it is the mechanism that turns one-time redesigns into lasting cultural change and sustained operational excellence.

The City’s CI system is deliberately designed to be simple, visible, and embedded in daily work rather than layered on top of it. It blends **top-down strategic direction** with **bottom-up operational learning**, creating a balanced approach that respects the realities of a small municipality while delivering measurable, ongoing results. At the strategic level, improvement efforts are explicitly tied to City priorities through simple driver diagrams that connect high-level outcomes (faster permit turnaround, improved asset reliability, reduced resident complaints) to the specific process changes required to achieve them. At the operational level, a Daily Management System (DMS) gives frontline teams and supervisors a routine way to surface problems early, solve them at the lowest possible level, and prevent recurrence.

This combination — strategic alignment plus daily operational discipline — makes improvement work visible, creates real accountability for follow-through, and gradually builds a culture where every employee feels empowered to identify and fix issues rather than work around them.

The Practical Management Cadence

To keep the CI system alive without adding burden, the City will follow a tiered review cadence that escalates naturally from daily operations to executive oversight.

Table 8 – Practical Cadence for Sustaining Improvements

Cadence	Frequency	Participants	Focus Areas	Key Outputs / Decisions
Operational Review	Weekly or bi-weekly	Process Owners, frontline teams, supervisors	Daily performance, issues surfaced in huddles, small countermeasures	Updated issue log, immediate fixes, visual board updates
Cross-Functional Review	Monthly	Process Owners, BPM/CI Lead, relevant departments	Progress on active waves, cross-department barriers, metric trends	Action plans for barriers, resource requests to Steering Committee
Benefits Review	Quarterly	BPM Steering Committee, City Manager	Overall program impact, benefits realization, maturity progress	Program adjustments, recognition, updated portfolio priorities

This cadence is intentionally lightweight. Most of the work happens in short, focused huddles and existing staff meetings. The monthly and quarterly reviews simply bring visibility and accountability at the right level without creating extra meetings.

Daily Management System (DMS) – The Operational Heart of CI

The DMS is the daily engine that makes continuous improvement routine rather than episodic. It gives teams a structured yet simple way to manage their work proactively instead of reactively. Core elements include:

- Short tiered huddles (5–15 minutes) that escalate from team level to department and executive level as needed.
- Visual readiness boards (MESS format: Methods, Equipment, Supplies, Staffing) that show at a glance whether the process is in a “normal” or “abnormal” state.
- A shared issue log that captures problems as they occur and drives root-cause follow-up rather than repeated firefighting.
- Clear visual indicators (green/yellow/red) so anyone walking through an area can immediately see the health of the process.

The DMS does not require fancy software — simple whiteboards, SharePoint dashboards, or even laminated charts work well in the beginning. Over time, these can be digitized as part of the broader technology modernization effort.

Core CI Components

The CI system rests on four practical, interconnected components that reinforce one another and directly support the maturity progression described earlier.

Table 9 – Core Continuous Improvement Components

Component	Description	How It Works in Practice for St. Helena	Link to Maturity & Sustainment
Standard Work & Visual Management	Documented processes and clear visual expectations for priority workflows	Updated swimlanes, mini-SOPs, and visual boards posted and used daily	Prevents regression by making the “new normal” obvious
Structured Problem Solving	Lightweight A3 or DMAIC-lite approach for exceptions and recurring issues	Simple one-page A3 forms used in huddles and monthly reviews	Builds capability and turns problems into permanent fixes
Capability Building	Develop a small cohort of “process champions” trained in mapping, facilitation, and basic tools	8–10 staff trained as internal coaches over 12–18 months	Reduces reliance on the BPM Lead and spreads ownership
Benefits Realization	Track outcomes across resident, operational, and capacity/financial measures	Quarterly summary dashboard showing cycle time, rework, and savings	Provides evidence of value and justifies continued investment

These components are introduced gradually. The first two pilots in Phase 1 will test and refine them, so that by Phase 2 the entire organization is using a consistent, familiar approach to continuous improvement.

Integration with the Broader Transformation

The CI system is not separate from the rest of the program — it is the glue that holds everything together. It ensures that BPR step changes are sustained, that the Daily Management System feeds data into the three-tier dashboards, that process champions support the new talent management framework, and that benefits realized are visible to the City Council and residents. When fully mature, continuous improvement will no longer feel like an extra initiative; it will simply be “how we work” at the City of St. Helena.

By investing in this lightweight yet disciplined CI system, the City moves beyond one-time redesigns to create an organization that learns, adapts, and continuously delivers better service with the resources it already has. This is the final piece that turns the BPM/BPR program from a project into a permanent operating advantage.

A.9. Dashboarding and performance management

Dashboards are most powerful when they actively support decisions rather than simply report on the past. For the City of St. Helena, the dashboard system must answer three practical questions every leader needs to know at any given moment: Are we meeting service expectations for our residents and businesses? Where are the current bottlenecks or emerging risks? And most importantly — what specific action is required right now to keep performance on track?

Prior deliverables made this gap clear. Deliverable 3B (Process Improvement and Efficiency Potential) documented that performance measures already exist in pockets across departments, yet they are rarely consolidated, trended over time, reviewed on a routine cadence, or used to drive actual improvement. Many metrics sit in isolated spreadsheets or monthly reports that arrive too late to influence decisions. The result is reactive management: problems are discovered only after they have grown into backlogs, complaints, or budget pressures.

The City’s new dashboard approach corrects this by design. It is built around a clear, tiered review cadence that matches the natural rhythm of municipal work and directly supports the DMS, process ownership model, and continuous improvement

practices described earlier in this appendix. When paired with explicit action triggers — such as backlog-age thresholds, rework-rate alerts, or compliance exceptions — dashboards shift from passive reporting tools into active management instruments that leaders at every level can use to intervene early and effectively.

The Three-Tier Dashboard Hierarchy

The system is organized into three connected tiers, each serving a different level of decision-making while feeding upward to create a single source of truth. All dashboards share consistent metric definitions, trend lines (not just snapshots), clear ownership, and visual indicators that make “normal versus abnormal” immediately obvious.

Table 10 – Dashboard Hierarchy and Purpose

Tier	Audience	Primary Purpose	Review Cadence	Example Metrics & Action Triggers
Executive Dashboard	City Manager, Council, Steering Committee	Strategic oversight and roadmap progress	Quarterly + monthly summary	Overall permitting cycle time trend; service request closure rate; total backlog aging; key milestone status. Triggers: red if >20% off target
Department Dashboards	Directors and Managers	Operational throughput and resource balancing	Monthly + weekly highlights	Volume by category; backlog by type; SLA adherence; workload distribution. Triggers: escalate if backlog exceeds 15 days
Process Dashboards	Process Owners and frontline teams	Step-level control and daily correction	Weekly/bi-weekly in huddles	Queue times per step; handoff delays; rework loops; control compliance. Triggers: immediate action if rework >8% or handoff delay >3 days

This hierarchy ensures information flows upward naturally while still giving every level the right level of detail for its decisions. Executive dashboards remain concise (no more than 8–10 key indicators) so Council and senior leaders can grasp the big picture in minutes. Department and process dashboards provide the deeper drill-down needed for daily management.

Review Cadence That Drives Action

The dashboards are embedded in a practical management cadence that aligns with the Daily Management System and the governance structure:

- **Weekly / Bi-weekly Operational Huddles** (frontline and Process Owner level): Focus on process dashboards for immediate correction. Teams review visual boards, discuss exceptions surfaced in the issue log, and assign quick countermeasures.
- **Monthly Cross-Functional Reviews** (department and Process Owner level): Department dashboards are reviewed with a focus on workflow handoffs, resource balancing, and cross-department barriers. The BPM/Continuous Improvement Lead participates to identify systemic patterns.
- **Quarterly Benefits Reviews** (Steering Committee and executive level): Executive dashboards are presented alongside a formal benefits realization report. This meeting confirms value delivered, adjusts priorities for the next wave, and celebrates wins.

When thresholds are exceeded, clear action triggers automatically escalate the issue — no one has to guess whether something needs attention. For example, a permitting backlog aging beyond 20 days automatically flags for the Community Development Director and appears on the next Steering Committee agenda.

Guiding Principles for Effective Dashboards

To ensure the system remains useful rather than burdensome, the City will follow five guiding principles:

1. **Consistent metric definitions** across all tiers so everyone speaks the same language.
2. **Trend visibility** (12-month rolling views) rather than static snapshots.
3. **Clear ownership** — every metric has a named Process Owner responsible for monitoring and action.
4. **Explicit action triggers** (red/yellow/green thresholds) that prompt specific responses.

5. **Integration with the process repository** — clicking any metric on a dashboard links directly to the latest swimlane map, SOP, and RASCI for that process.

Implementation Approach

Dashboards will be built in phases to match the BPM rollout. Phase 1 pilots (permitting and service requests) will include basic process and department dashboards using simple tools such as SharePoint lists or Microsoft Power BI (leveraging existing licenses). By the end of Phase 2, the full three-tier hierarchy will be live across all priority processes. Phase 3 will add predictive elements (such as backlog forecasting) as data maturity improves.

All dashboards will be accessible through the central process repository so staff can view them on computers, tablets, or even printed visual boards in work areas. Training for Process Owners and managers on how to read, interpret, and act on dashboard information will be included in the capability-building program.

Integration with the Broader Transformation

The dashboard system is the visible nervous system of the entire BPM/BPR program. It directly supports the maturity progression (A.3), the seven-step improvement method (A.7), the Daily Management System, and the continuous improvement culture (A.8). It provides the data that proves benefits realization, informs the Steering Committee’s decisions, and gives the City Manager and Council the confidence that the transformation is delivering real results.

When fully operational, these dashboards will transform how St. Helena manages its services — moving the City from reactive, anecdotal decision-making to proactive, fact-based leadership. Residents will experience faster, more consistent service; staff will have clearer priorities and fewer surprises; and leadership will have the visibility needed to steer the organization confidently into the future. This is the final link that turns individual process improvements into sustained organizational excellence.

A.10. Implementation Plan Aligned to the Transformation Roadmap

A.10. Implementation Plan Aligned to the Transformation Roadmap

The BPM/BPR program will succeed only if it is implemented in a deliberate, phased manner that builds capability step by step while delivering visible results early enough to create momentum and confidence across the organization. For the City of St. Helena, this means aligning every phase of the BPM/BPR rollout directly with the three-phase transformation roadmap in Deliverable 4. The approach is intentionally practical: start small with governance and pilots to prove the model works, scale methodically while integrating with technology modernization, and finally institutionalize the new way of working so that continuous improvement becomes part of the City’s normal operating rhythm rather than a separate initiative.

This implementation plan provides the complete roadmap — including specific outputs, timelines, responsibilities, and integration points — so leadership, Process Owners, and staff have absolute clarity on what success looks like at each stage. It also incorporates explicit change management activities at every phase to ensure new processes and practices become the “new normal” rather than temporary experiments.

Table 11 – Summary of BPM/BPR Implementation by Phase

Phase	Timeframe	Primary Focus	Key Deliverables	Success Indicators
Phase 1	Months 0–12	Establish capability and execute pilots	Governance structure, process inventory, templates, 1–2 pilots completed, initial dashboards and DMS	Level 2 maturity in pilot processes; measurable quick wins; staff confidence and buy-in
Phase 2	Months 12–24	Scale and integrate with modernization	Expanded portfolio, full process library, alignment with IT/cloud/AI initiatives, broader DMS rollout	Level 3 elements in place; integration with systems complete; capacity gains realized
Phase 3	Month 24+	Institutionalize and sustain	Citywide process library, annual refresh process, embedded CI in management systems, higher-maturity analytics	Level 3 sustained across core workflows; CI culture embedded; CMMI Level 3 certification pursued

A.10.1. Phase 1: Establish Capability and Execute Pilots

Phase 1 is about building the minimum viable management system and proving that the BPM/BPR approach works in St. Helena's real-world environment. The focus is on speed and visibility — delivering tangible results within the first 60–90 days to build credibility and momentum before scaling.

Key activities and outputs in Phase 1 include:

- Stand up the full governance structure (BPM Steering Committee, named Process Owners, and the BPM/Continuous Improvement Lead role).
- Finalize the citywide process inventory and apply the scoring model to confirm the first two pilot processes (recommended: permitting and service requests).
- Develop and distribute standardized templates (SIPOC, swimlane maps, mini-SOPs, RASCI, issue log, and charter).
- Complete baseline measurement and full redesign of the two pilot processes using the seven-step method.
- Launch the initial Daily Management System (tiered huddles and visual boards) and the first version of the three-tier dashboards.
- Establish a simple benefits tracking mechanism and communications plan — including “You said, we did” updates to staff and residents — to celebrate early wins and maintain transparency.

Change management is explicit in this phase. Stakeholder mapping, targeted communications, hands-on training, and reinforcement activities ensure that the pilot teams and affected departments see the new processes as improvements rather than extra work. By the end of Phase 1, the City will have proven governance, two redesigned processes with measurable improvements, and the foundational tools needed to scale confidently.

A.10.2. Phase 2: Scale and Integration with Modernization

Phase 2 is where BPM/BPR and technology modernization converge most powerfully. With proven governance and templates in place, the City expands the program to additional high-leverage workflows while ensuring that every redesign directly informs system configuration, digitization priorities, records management, and workflow automation. This prevents the common mistake of automating unstable processes.

Key activities and outputs in Phase 2 include:

- Expand the process portfolio to 4–6 additional workflows (including the finance and accounting backbone, work-order management, and public records).
- Formalize the central process library (SharePoint) as the authoritative source for how work is performed, with links to data definitions, reporting, and role clarity.
- Align all system configuration, cloud migration steps, and automation decisions to the newly redesigned To-Be processes.
- Deepen the Daily Management System and tiered performance reviews so leadership can actively manage workload balancing and cross-department handoffs.
- Integrate change management more broadly, including expanded training for process champions and updated performance expectations in staff evaluations.

By the end of Phase 2, the City will have Level 3 elements in place across a critical mass of processes, full integration between redesigned workflows and technology systems, and the operational discipline needed to sustain gains without constant external support.

A.10.3. Phase 3: Institutionalize and Sustain

Phase 3 shifts the focus from project-based improvement to permanent capability. The goal is to embed BPM and continuous improvement so deeply into the City's culture and management systems that they become "how we do business" rather than a separate program.

Key activities and outputs in Phase 3 include:

- Embed BPM/CI practices into all core management systems (budget cycles, performance reviews, strategic planning, and governance routines).
- Maintain and annually refresh the citywide process library, conduct periodic process health audits, and update the process portfolio based on changing priorities.
- Expand dashboarding into a stable, Citywide performance management discipline with predictive elements where data maturity allows.
- Train and develop additional internal process champions so the capability no longer depends on any single individual or external consultant.
- Selectively pursue higher-maturity elements (advanced analytics, targeted automation, and responsible AI use cases) anchored to stable, well-documented processes and clear governance.

At this stage, the City can confidently pursue external validation — such as CMMI Level 3 certification in high-impact areas — to demonstrate long-term commitment to excellence and to qualify for additional grants or insurance advantages.

Sustaining Momentum for the Long Term

Throughout all three phases, the City will maintain a strong focus on benefits realization, change management, and communications. Quarterly benefits reviews will quantify resident outcomes, operational improvements, and capacity/financial gains, while annual maturity reassessments will keep the program aligned with evolving needs. Recognition programs and success stories will reinforce the cultural shift so that process improvement becomes a source of pride rather than an extra task.

By following this aligned, three-phase implementation plan, the City of St. Helena will move methodically from a reactive, person-dependent organization to one that is deliberate, visible, resilient, and continuously improving. The BPM/BPR program will not end when the initial waves are complete — it will become the enduring management system that supports excellent public service for decades to come. This is the final, integrating element that turns every recommendation in this appendix into lasting organizational excellence.

A.11. Key Risks and Mitigations

Every major transformation carries risks, and the City of St. Helena's BPM/BPR program is no exception. The difference between success and failure will lie in how proactively the City anticipates and manages those risks. Because this program touches every department and changes how people do their daily work, the Steering Committee, Process Owners, and BPM/Continuous Improvement Lead must treat risk management as an ongoing discipline rather than a one-time checklist.

The seven risks below are the ones most likely to undermine progress in a small-city environment. Each is paired with a practical, proven mitigation that is already built into the governance model, seven-step method, dashboard system, and phased rollout described throughout this appendix. By addressing these risks systematically from Day 1, the City can protect its investment and keep the program on track to deliver the intended outcomes.

Table 12 – Key Risks and Mitigations

Risk	Description	Mitigation Strategy	How It Is Embedded in the Program
BPM becomes “documentation only”	Processes are mapped and filed away but never actually change day-to-day behavior	Tie every mapped process to measurable outcomes, implementation actions, and benefits tracking	Every wave requires baseline metrics, a formal implementation plan, and quarterly benefits reviews with the Steering Committee
Cross-department processes lack accountability	No one feels truly responsible when handoffs fail or delays occur	Assign true end-to-end Process Owners and use Steering Committee governance to resolve barriers and enforce decision rights	Clear Process Owner role + RASCI matrices + monthly Steering Committee barrier-removal sessions
Improvement work competes with day-to-day workload	Staff feel overwhelmed and deprioritize BPM activities	Right-size the portfolio, time-box every wave (6–10 weeks), and focus first on bottlenecks that quickly yield capacity back	Limited number of active waves at any time + deliberate selection of high-leverage processes that free up staff time
Technology changes precede process stabilization	New systems automate broken or undefined processes	Apply a strict “process first” rule: define and validate the To-Be workflow, controls, and data requirements before any automation or major configuration changes	All technology projects in Deliverable 3D and Phase 2 must reference the approved To-Be process design before configuration begins
Reliance on key individuals and turnover disrupts continuity	Knowledge walks out the door when someone leaves	Build a shared repository, standard templates, cross-training requirements, and explicit process ownership so knowledge is institutionalized	Centralized SharePoint process library + mandatory RASCI updates + cross-training built into every implementation plan
Measures are not trusted or not used	Dashboards are created but ignored because data seems unreliable or irrelevant	Start with a small set of high-value metrics, define clear definitions and data sources, and pair every metric with routine review and explicit action triggers	Three-tier dashboard hierarchy with defined owners, consistent definitions, and automatic escalation triggers
Change fatigue and low adoption	Staff become skeptical or disengaged after multiple initiatives	Prioritize a small number of visible early wins, communicate progress transparently (“You said, we did”), and reinforce new standard work through supervisor routines and coaching	Phase 1 pilots chosen for quick, visible impact + regular communications plan + supervisor coaching included in capability building

These mitigations are not theoretical — they are already designed into the program’s DNA. The governance structure provides oversight, the seven-step method enforces discipline, the dashboard system creates visibility, and the phased rollout builds momentum gradually. Regular quarterly benefits reviews by the Steering Committee serve as an early-warning system: if any risk begins to materialize, it is surfaced and addressed before it can derail progress.

By treating these risks openly and embedding the mitigations from the very first pilot, the City of St. Helena will protect its investment in the BPM/BPR program and dramatically increase the likelihood that the transformation delivers lasting, measurable improvements in service, capacity, and fiscal sustainability. This proactive risk management approach is one of the reasons the program is right-sized and realistic for a community of St. Helena’s scale.

A.12. BPM/BPR Recommendation Card

To ensure that the BPM/BPR program remains visible, understood, and consistently applied at every level of the organization, the City of St. Helena has created a single-page **BPM/BPR Recommendation Card**. This quick-reference tool distills the entire appendix into its most essential elements, making it easy for City leadership, Process Owners, managers, supervisors, and frontline staff to stay aligned with the program’s purpose, structure, and expected outcomes.

The card is designed to be practical and durable. It will be printed, laminated, and distributed widely — posted in department offices and break rooms, included in new-employee onboarding packets, used as a handout during training sessions and improvement-team kickoffs, and reviewed at the start of every Steering Committee meeting and process wave. It serves as both a daily reminder and a cultural symbol that process excellence is now “how we work” in St. Helena.

Recommendations Card

Section	Content
Our Vision	Move from informal, person-dependent processes (Maturity Level 1–2) to repeatable, measurable, and continuously improved processes (Level 3).
Why It Matters	• Faster, more consistent service for residents and businesses • Increased capacity without proportional headcount growth • Reduced risk and stronger compliance • Strong foundation for cloud systems, automation, and responsible AI
Core Maturity Goal	Advance across six dimensions: 1. Ownership 2. Documentation 3. Controls 4. Measurement 5. Integration 6. Continuous Improvement
Governance Structure	• Steering Committee: Sets priorities and removes barriers • Process Owners: End-to-end accountability for performance and handoffs • BPM/CI Lead: Coordinates program, templates, training, and repository • Improvement Teams: Time-bound redesign waves
The 5-Step Method	1. Define & Baseline 2. Diagnose 3. Design 4. Implement 5. Sustain
Phased Rollout	• Phase 1 (0–12 mo): Governance + 1–2 pilots (Permitting & Service Requests) • Phase 2 (12–22 mo): Scale + technology integration • Phase 3 (24+ mo): Institutionalize and sustain
Daily Tools	• Central Process Library (SharePoint) • Daily Management System (DMS) with tiered huddles • Three-Tier Dashboards with action triggers • RASCI matrices for role clarity
Our Commitment	Process improvement is not a project — it is how we work every day. Process First. People Empowered. Results Sustained.

Approved by the BPM Steering Committee

Review & Update Annually

For questions or support, contact the BPM/Continuous Improvement Lead

This one-page card captures the essence of the entire BPM/BPR program in a format that is easy to read at a glance yet powerful enough to reinforce the key principles every time it is seen. It will be refreshed annually or whenever significant program changes occur, ensuring it remains a living reference tool.

By keeping this simple card visible and in regular use throughout the City, leadership and staff will stay focused on the same goals, speak the same language, and work toward the same outcomes. It serves as the final, unifying element that turns the detailed guidance in this appendix into a shared, practical reality for the City of St. Helena.