1/5/23 11:05 a.m. UPDATE
City of St. Helena
Special City Council Meeting
Friday, January 6, 2023 @ 8:30 AM
Native Sons Hall, 1313 Spring St, St Helena, CA 94574

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

Simultaneous Spanish interpretation services during meetings can be scheduled upon request. 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@cityofsthelena.org.
The schedule of upcoming meetings and published meeting agendas can be found on the City of St. Helena website at https://sthelena.civicweb.net/portal/.

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@cityofsthelena.org .
El horario de las reuniones publicadas y próximas puede ser localizado en el sitio de web de la Ciudad en https://sthelena.civicweb.net/portal/ .

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1. CALL TO ORDER

2. ROLL CALL
   Mayor: Paul Dohring, Vice Mayor Eric Hall:, City Council Members: Anna Chouteau, Lester Hardy, Billy Summers

3. ADOPTION OF THE AGENDA

4. PUBLIC COMMENT:
   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.

5. NEW BUSINESS:

   5.1. New Mayor and Council Members Orientation 8:30 a.m. to 12:30 p.m. — 5 - 1345

   - Overview of the City
   - Roles and Responsibilities
     - Mayor
     - Council Members
     - City Manager
     - City Attorney

- Review of Brown Act
- Rules of Procedure for the Conduct of Council Meetings and City Council Standards of Conduct
- Review Timeline for Upcoming Agenda Items
- Review Proposed Council Meeting Agenda Format
- Review Proposed Staff Report Format
- Review of Departments & Critical Issues
- Downtown Main Street Overview

01 - Your-Role-As-An-Elected-Official
02 - Relationship-Between-City-Council-and-City-Manager-Staff
03 - Making It Work Essentials of Council-Manager Relations
04 - Vision and Mission Statement
05 - City Council Goals and Workplan
06 - Major Provisions and Requirements of the Brown Act
07 - Open Public V - A Guide to the Brown Act. Revised 2016
08 - Rules of Procedure for the Conduct of Council Meetings and City Council Standards of Conduct
09 - Understanding City's Departments
10 - Organizational Charts
11 - Department Summaries from FY23 Budget
12 - FY 2023 Adopted Budget
13 - 2040 General Plan
14 - Employee Handbook Adopted 2021
15 - Boards and Commissions Members Updated 12-22-22
16 - 2023 Intergovernmental CC Assignments Including Ad Hoc Appointments
17 - Government Acronyms

5.2. ***Due to weather conditions the facilities tour has been cancelled.**

City Facilities tour 12:30 p.m. to 3:00 p.m.

Following the orientation the City staff will conduct a tour for Council members of key City facilities as listed below. The City will conduct the tour in multiple vehicles and a quorum of the Council will not be in any individual vehicle. However, the Council members will leave the vehicles to tour specific facilities as noted below. Members of the public will be able to participate on the tour in City vehicles or follow in their own vehicles.

- Water Treatment Plant/Bell Canyon (410 Crystal Springs Road) – get out for tour
- Meadowood Tanks – drive by only
- Rutherford Pump Station – drive by only
- Wastewater Treatment Plant (1 Chaix Lane) – get out for tour
- Crane Park (Valley Oak/Headstart Building) – drive by only
- Corporation Yard (1405 Charter Oak Ave.) – get out for tour
- Upper York Creek – get out for tour
- Carnegie Hall – drive by only
- Police Station – drive by only

- Fire Station – drive by only
- Parks & Recreation Office – drive by only
- Lyman Park (from Railroad) – drive by only
- Library – drive by only
- Adams Street Property – drive by only
- Meiley Park – drive by only
- Stonebridge Wells – drive by only
- Wappo Park (201 Pope Street) – get out at NVC
- Napa Valley College (1088 College Ave.) – tour of building and campus

Reminder - the Brown Act doesn't allow substantive discussion of any specific issues or projects that are not included on the Agenda.

6. ADJOURNMENT

The next Regular City Council meeting is scheduled for January 10, 2023, at 6:00 p.m.

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Cindy Tzafopoulos

Cindy Tzafopoulos, 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.

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 1572 Railroad 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 web site at https://sthelena.civicweb.net and will be available for public review at the respective meeting.

Your Role as a Local Elected Official

How Well-Informed Public Officials Promote the Public Interest*

Training, education and keeping abreast of developments essential for the public service are the oldest form of education in California. The first compulsory education of which there is a record was for the public service.

The seventh Governor of California, Diego de Borica, a man of wit and charm, took office in 1794. This was 50 years before the ability to read, write and update one's knowledge of changing events was considered necessary for the common man. Finding that only 14 of his 50 soldiers at the capital in Monterey had the ability to read and write, de Borica made available the three touchstones of keeping up to date (teachers, money and materials) and started California's first compulsory education program, confining it to those in public service.

Nearly another century passed before there was compulsory education in California for the general populace. Consequently, any discussion of the role of elected leaders in California in "keeping up" stems from venerable precedents.

Thirty years ago, the League of California Cities published *Municipal Post-entry Training Needs and Resources*, which fostered modern policies to make available time, money and materials for keeping abreast.

One could spend an entire career examining the endless diversities of mayors, council persons, other city officials and the ways in which leadership greatness occurs. No matter how long the list or how exhaustive the examples, one recurring characteristic of leaders is an unquenchable thirst to learn, to absorb, to put theory into practice, and to follow and understand the ebb and flow of events as they unfold.

Very often, one finds extremely able women and men in governmental leadership positions who are skilled analysts but who cannot move from analysis to action because they lack the best and most current information. Maybe this is what General Carl Spatz had in mind when he said of a fellow officer in World War II, "He thinks things through very carefully and then goes off half-cocked." What is often lacking to keep local government officials from going off "half-cocked" is an inability to relate the specific situation in their city to the general situation or emerging trends and experiences of other cities and other local government officials, whether elected or appointed.

There is nothing sadder or more depressing than to hear from a public official, "I don't have time to go to this training program, or that statewide meeting of a League department." Or, "Our budget is too tight to spend money on trying to learn something new." Or, "We are not interested in what is going on in Sacramento, or within the various professions that make up local government, or how other cities similar to ours met and solved that problem."

* by Randy H. Hamilton, Institute of Governmental Affairs, University of California, Berkeley. Reprinted with permission from *Western City* magazine.

City officials are always quick to point out, and rightly so, the differences between the public and private sectors. One of the differences they frequently overlook is that when things are tough in the private sector the *last* thing that gets the budget ax is research, training and development. What are the *first* things that get cut when things are tough in the public sector? They are budgeted funds for training, continuing education and attendance at professional meetings to acquire the newest knowledge and ways of doing things. This approach to allocation of resources is one of the main differences between the public and the private sectors.

Local government leaders need a far-reaching "education" in the broadest sense: exposure to different points of view and current trends. City officials need the ability to openly look at issues and to adapt their thinking to clearly reflect the matters at hand, to seek the widest possible spectrum of orientation and options for policy formulation and implementation. It is often from the clash of old and new ideas that learning begins to take shape.

The League, through its many conferences, institutes, regional division activities, and the annual conference, provides an ideal vehicle for city officials, without enrolling in formal degree or training programs, to fulfill individual goals and improve public activities. The League does this by making "education" -- broadly defined -- become part of the everyday business of governance.

If history teaches us anything, it is that neither Plato's philosopher-kings nor Jackson's untutored citizenry can, in today's world, safely manage a free society. There may have been a time in the past when cities could be run on the theory that any person could conduct the affairs of a municipality just as any person might poke a fire or rock a baby, but that won't suffice today or tomorrow. Our urban areas are becoming too complex and central to the society in which we live for that simplistic approach to policy-setting, management and public endeavor.

An "educated" newly elected or appointed official has just begun his or her education upon election or appointment. He or she reads, discusses, assimilates knowledge all through the tenure in public life. It has become increasingly difficult for the well-educated to remain well-educated, however brilliant the individual may be. If he or she is in a moderately specialized professional field -- as most are -- it is a difficult job to keep up with advances in one's own field, but doing so must not hinder or interfere with doing so in fulfillment of public responsibilities.

I recall an incident concerning a friend, an elected council person who was "too busy" to attend a specialized League conference. Had he attended, he would have learned that the speech he delivered at a City Council meeting, which was widely quoted in the press, urged approval of a policy that was clearly illegal. All hands suffered indignity and embarrassment when the city attorney and city manager had to publicly refute the council member's position because he was "too busy" to keep up with the kaleidoscope of affairs municipal.

The late Justice Felix Frankfurter put it succinctly:

"Without . . . highly trained, imaginative and courageously disinterested public officials the democratic aim of our society cannot be achieved. Such a body of public officials is indispensable, no matter what social and economic policies may express the popular will in the

executive and legislative branches of Government."

Would that every public official in every city in California took as an essential task continuing education and training in the broad sense expressed here. Then, perhaps, they would achieve the wish best expressed in the words of John Masefield's couplet:

There were three men, as
Down the road came he;
The man they saw, the man he was,
The man he wanted to be.

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Steering the Ship

"When I ran for office, I was the captain of my ship, steaming through a successful election. Now that I'm a city council member, I feel like a novice on a tiny sailboat, tacking from point to point, trying to make headway."
-- former Minneapolis city council member

Cooperation, coordination, collaboration – not unfamiliar concepts for most municipalities. But how can communities really practice these concepts? And what, in particular, is the role of elected and professional leaders in promoting them?

One popular strategy for reinventing community is reinventing how cities provided services to citizens – making them easier to use and cheaper to implement by reducing overlap and duplication. This strategy has worked effectively in cities of many sizes, and is often necessary to access complicated state and federal resources. A collaborative stance, however, can be an uneasy position for elected officials. After all, elected officials are accustomed to shaping their destinies, and city staff are accustomed to charting careful progress with procedures that emphasize stability and uniformity.

So what is collaboration? How is it different from the work most groups are used to doing? And how can city leaders promote and sustain effective collaborations? In this discussion. We'll use a broadly accepted definition of collaboration from the Collaboration Handbook: Creating, Sustaining and Enjoying the journey by Karen Ray and Michael Winer: "Collaboration is a mutually beneficial and well-defined relationship entered into by two or more organizations to achieve results they are more likely to achieve together than alone."

A Metaphor for Collaborating

In the past, when we wanted to improve ourselves we created a task force or an office to make changes, to oversee planning, and to spend resources. We added programs, staff or facilities to ensure we met our needs. In essence, we built a bigger boat. It's always been done that way. This way, we're in control of the ship and we can clearly assign accountability to specific individuals. We can forecast the cost of building a bigger boat and predict any risk.

Unfortunately, we've learned that all that luxurious control carries a high price tag. Staff and programs cost money and our huge vessel grows difficult to navigate. It's almost as if we've set up a wonderful target for all the rest of the flotilla to attack. For we are not in our boat alone. Many of our citizens and the organizations they belong to also care passionately about the services the city provides. Many people are shipping off to a destination called Reinventing Community in various crafts like canoes, dugouts, speedboats, tugs, barges, and anything else that can float.

Collaborating is like building a marina – making space for everyone's vessel; collecting all that passionate interest and using it effectively. A marina handles many different ships or boats, and creates order so each can move the way it needs to. The role of leaders is to create an

environment that promotes collaboration. Leaders are like managers of marinas, or of environments that encourage redesign of systems and bail our duplication of cost or service.

The Process of Collaboration

Collaborations develop over time – just as marinas do – and are fueled with passion, power and politics. Partnerships usually start person-to-person. A city administrator has lunch with an agency director and they get excited about a new idea. During the first stage of collaboration, individuals imagine the results they want and excite others about that vision – often one person or small group at a time. This stage is characterized by many meetings and revisions of the initial vision statement to reflect everyone's passions. Our marina makes space for all passionate sailors so the each can participate and contribute.

Passion: The Leader's Role

Recognize that other people's passions will not go away. You can rely on them to show up at public meetings, for instance, in order to be heard. How can you round up all of that energy and resources and guide it to good results? Do you have the right people, able to make decisions for their agencies or groups, in the room working together?

Now admit to yourself and to others what you will get out of this change. What is your personal self-interest? We use words like "hidden agenda" or "turf" to refer to other people's self-interests, but self-interest is not inherently bad after all, it got you your job. Hiding self-interest or being evasive about it is what makes us targets of suspicion.

Gradually, the focus in a collaboration shifts from individuals to the organizations they represent. It's great to be passionate about a dream and the desired results, but it's going to take the organizations' resources to make those results happen. It's at this stage that wise partnerships collect everybody's power and apply it to achieve results. Trying to reduce someone else's power, ignoring conflicts, and avoiding difficult discussions and decisions indicates that true collaboration is not happening.

Power: The Leader's Role

At this point leadership may play its most vital role surfacing conflict and keeping the vision and desired results central to decision making. People naturally avoid the difficult discussions and dialogues that true change engenders. Someone may be perceived as a potential "loser" if systems are reformed. Your job as leader is to help the group face that prospect, and treat it professionally and bravely. Do you insist on resolving long-standing conflicts?

Specific action plans emerge as conflicts are resolved. Organizations make real headway when they start responding to the plans by changing individual policies and procedures. Once again, the marina metaphor illustrates the point: plenty of meetings with marina builders, officials and bureaucrats occur in the marina architect's office. But all the meetings in the world lead to nothing unless ground is broken and construction begins.

Politics: The Leader's Role

Partnerships use politics to break ground and accomplish plans. As political will for change builds, a collaboration enters its maturity. Communities are reinvented as city leaders and community participants put new standard operating procedures in place. This takes time so leaders must keep the enthusiasm brewing. Do you openly ask organizations to change policies, and do you help groups assess whether or not the changes are working?

Real Change

Charles Bruner earns us in his book *Thinking Collaboratively: Ten Questions and Answers to Help Policy Makers Improve Children's Services*, that efforts to repair fragmented systems often result in "pro forma responses to mandates" rather than in real changes. This is because collaboration requires courage to resolve conflict, and leadership to support the long-term effort required by true partnerships. You can reinvent your community if you remember your role as a leader: to ask yourself these questions so that you create and sustain an environment where the principles of collaboration are applied at all stages of work.

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Council Conduct with City Staff, the Public, and Each Other

Council Conduct with One Another

"In life, courtesy and self-possession, and in the arts, style, are the sensible impressions of the free mind, for both arise out of a deliberate shaping of all things and from never being swept away, whatever the emotion, into confusion or dullness."

--William Butler Yeats

Councils are composed of individuals with a wide variety of backgrounds, personalities, values, opinions, and goals. Despite this diversity, all have chosen to serve in public office in order to preserve and protect the present and the future of the community. In all cases, this common goal should be acknowledged even as Council may "agree to disagree" on contentious issues. The City's Code of Ethics & Values should be referred to for positive statements of ethical behavior.

IN PUBLIC MEETINGS

Use formal titles.
It is preferred that Council refer to one another formally during public meetings as Mayor, Vice Mayor or Council Member followed by the individual's last name.

Practice civility and decorum in discussions and debate.
Difficult questions, tough challenges to a particular point of view, and criticism of ideas and information are legitimate elements of a free democracy in action. However, making personal, slanderous, threatening, abusive, or disparaging comments is not appropriate. No shouting or physical actions that could be construed as threatening will be permitted.

Honor the role of the Chair in maintaining order.
It is the responsibility of the Chair to keep the comments of all participants on track during public meetings. Council Members should horror efforts by the Chair to focus discussion on current agenda items. If there is disagreement about the agenda or the Chair's actions, those objections should be voiced politely and with reason, following procedures outlined in Robert's Rules of Order.

Demonstrate effective problem solving approaches.
Council Members have a public stage to show how individuals with disparate points of view can find common ground and understanding, negotiating solutions that benefit the community as a whole.

IN PRIVATE ENCOUNTERS

Continue respectful behavior in private.
The same level of respect and consideration of differing points of view, that is deemed appropriate for public discussions, should be maintained in private conversation.

Be aware of the insecurity of written notes, voicemail messages, and e-mail.
Technology allows words written or said without much forethought to be distributed wide and far. Would you feel comfortable to have this note faxed to others? How would you feel if this voicemail message was played on a speakerphone in a full office? What would happen if this e-mail message was forwarded to others? Written notes, voicemail messages and e-mail should be treated as potentially "public" communication.

Even private conversations can have a public presence.
Elected officials are always on display – their actions, mannerisms, and language are monitored by people around them that they may or may not know. Lunch table conversations can be eavesdropped upon, parking lot debates may be watched, and casual comments between individuals before and after public meetings noted.

Council Conduct with City Staff

"Whenever there is a human being, there is an opportunity for kindness."
--Seneca

Governance of a City relies on the cooperative efforts of elected officials, who set policy, and the City Manager and staff, who implement and administer the Council's policies. Therefore, every effort should be made to be cooperative and show mutual respect for the contributions made by each individual for the good of the community.

Treat all staff as professionals.
Clear, honest communication that respects the abilities, experience, and dignity of each individual is expected. Poor behavior towards staff is not acceptable.

Direct staff issues and assignments to the City Manager.
Assignments for City staff and/or requests for additional background information should be directed only to the City Manager.

Requests for follow-up or directions to staff should only be made through the City Manager or the City Attorney when appropriate. Materials supplied to a Council Member in response to a request will be made available to all members of the Council so that all have equal access to information.

Never publicly criticize an individual employee.
Council should never express concerns about the performance of a City employee in public, to the employee directly, or to the employee's supervisor. Comments about staff performance should only be made to the City Manager through private correspondence or conversation. Comments about staff in the office of the City Attorney should be made directly to the City Attorney.

Allow staff to handle administrative functions.

Council Members must not attempt to influence City staff on the making of appointments, awarding of contracts, selecting of consultants, processing of development applications, or granting of City licenses and permits.

Check with the City Manager on correspondence before taking action.
Before sending correspondence, Council Members should check with the City Manager or Executive Assistant to the Mayor and City Council to see if an official City response has already been sent or is in progress.

Limit requests for staff support.
Routine secretarial support will be provided to all Council Members. All mail for Council Members is opened by the Executive Assistant to the Mayor and City Council, unless other arrangements are requested by a Council Member. Mail marked personal or confidential is not opened.

Requests for additional staff support – even in high priority or emergency situations – should be made to the City Manager who is responsible for allocating City resources in order to maintain a professional, well-run City government.

Do not solicit political support from staff.
Council Members should not solicit any type of political support (financial contributions, display of posters or lawn signs, name on support list, etc.) form City staff. City staff may, as private citizens with constitutional rights, support political candidates but all such activities must be done away from the workplace. City employees are prohibited from using City resources, City time or appearing in uniform in relation to political activities.

Council Conduct with the Public

"If a man be gracious and courteous to strangers, it shows he is a citizen of the world, and that his heart is no island cut off from other lands, but a continent that joins to them."
--Francis Bacon

IN PUBLIC MEETINGS

Making the public feel welcome is an important part of the democratic process. No signs of partiality, prejudice or disrespect should be evident on the part of individual Council Members toward an individual participating in a public forum. Every effort should be made to be fair and impartial in listening to public testimony.

Be welcoming to speakers and treat them with care and gentleness.
Most residents may be nervous speaking before the City Council since they do not do it very often. They may feel uncomfortable and emotional. Putting speakers at ease will allow them to express their viewpoints more effectively, make Council meetings run more efficiently, and help the democratic process be fulfilled.

Be fair and equitable in allocating public hearing time to individual speakers.
The Chair will determine and announce limits on speakers at the start of the public hearing process, per Council policy. Generally, each speaker will be allocated four minutes with applicants and appellants or their designated representatives allowed 10 minutes. If many speakers are anticipated, the Chair may ask for speaker cards to be filled out and may shorten the time limit and/or ask speakers to limit themselves to new information and points of view not already covered by previous speakers.

No speaker will be turned away unless he or she exhibits inappropriate behavior. Each speaker may only speak once during the public hearing unless the Council requests additional clarification later in the process. After the close of the public hearing, no more public testimony will be accepted unless the Chair reopens the public hearing for a limited and specific purpose.

Give the appearance of active listening.
It is disconcerting to speakers to have Council Members not look at them when they are speaking. It is fine to look down at the documents or to make notes, but reading for a long period of time, gazing around the room, or entering into prolonged dialogue with adjacent Council Members or staff gives the appearance of disinterest. Be aware or facial expressions, especially those that could be interpreted as "smirking," disbelief, anger or boredom.

Ask for clarification, but avoid debate and argument with the public.
Only the Chair – not individual Council Members – can interrupt a speaker during a presentation. However, a Council Member can ask the Chair for a point of order if the speaker is off the topic or exhibiting behavior or language the Council Member finds disturbing.

If speakers become flustered or defensive by Council questions, it is the responsibility of the Chair to calm and focus the speaker and to maintain the order and decorum of the meeting. Questions by Council Members to members of the public testifying should seek to clarify or expand information. It is never appropriate to belligerently challenge or belittle the speaker. Council Members' personal opinions or inclinations about upcoming votes should not be revealed until after the public hearing is closed.

Undertake no personal attacks of any kind, under any circumstance.
Council Members should be aware that their body language and tone of voice, as well as the words they use, can appear to be intimidating or aggressive.

Follow parliamentary procedure in conducting public meetings.
The City Attorney serves as advisory parliamentarian for the City and is available to answer questions or interpret situations according to Roberts Rules or Order. Final rulings on parliamentary procedure are made by the Chair, subject to the appeal of the full Council.

IN UNOFFICIAL SETTINGS

Make no promises on behalf of the Council.

Council Members will frequently be asked to explain a Council action or to give their opinion about an issue as they meet and talk with constituents in the community. It is appropriate to give a brief overview of City policy and to refer to City staff for further information or appropriate action. It is inappropriate to overtly or implicitly promise Council action, or to promise City staff will do something specific (fix a pothole, remove a library book, plant new flowers in the median, etc.)

Make no personal comments about other Council Members.
It is acceptable to publicly disagree about an issue, but it is unacceptable to make derogatory comments about other Council Members, their opinions and actions.

Remember that Council Members are always on display.
Council Members are constantly being observed by the community every day that they serve in office. Their behaviors and comments serve as models for proper deportment in their city. Honesty and respect for the dignity of each individual should be reflected in every word and action taken by Council Members, 24 hours a day, seven days a week. It is a serious and continuous responsibility.

Council Conduct with Other Public Agencies

Be clear about representing the City or personal interests.
If a Council Member appears before another governmental agency or organization to give a statement on an issue, the Council Member must clearly state if his or her statement reflects personal opinion or is the official stance of the City.

If the Council Member is representing the City, the Council Member must support and advocate the official City position on an issue, not a personal viewpoint.

If the council Member is representing another organization whose position is different from the City, the Council Member should withdraw from voting on the issue if it significantly impacts or is detrimental to the City's interest. Council Members should be clear about which organizations they represent and inform the Mayor and Council of their involvement.

Correspondence should also be equally clear about representation.
City letterhead may be used when the Council Member is representing the City and the City's official position. A copy of official correspondence should be given to the Executive Assistant to the Mayor and City Council to be filed in the Council Office as part of the permanent public record.
Correspondence of Council Members representing a personal point of view on a City issue, or a dissenting point of view from an official Council position, should make it clear that the views expressed represent only the individual Council Member.

Council Conduct with Boards, Commissions and Committees

"We rarely find that people have good sense unless they agree with us."
--Francois, Duc de La Rochefoucauld

The City has established several Boards, Commissions and Committees (collectively referred to as City Commissions) as a means of gathering more community input. Citizens who serve on City Commissions become more involved in government and serve as advisors to the City Council. They are a valuable resource to the City's leadership and should be treated with appreciation and respect.

If attending a City Commission meeting, express personal opinions only.
Council Members may attend any City Commission meeting, which are always open to any member of the public. However, they should be sensitive to the way their participation – especially if it is advocating a certain position – could be viewed as unfairly affecting the process. Any public comments by a Council Member at a City Commission meeting should be clearly made as individual opinion and not a representation of the feelings of the entire City Council, unless the Council has taken a position on the topic. Council Members should not appear before a commission on behalf of an individual, business or developer.

Remember that City Commissions serve the community, not individual Council Members.
The City Council appoints individuals to serve on City Commissions, and it is the responsibility of City Commissions to follow policy established by the Council. But City Commission members do not report to individual Council Members, nor should Council Members feel they have the power or right to threaten City Commission members with removal if they disagree about an issue. Appointment and re-appointment to a City Commission should be based on such criteria as expertise, ability to work with staff and the public, and commitment to fulfilling official duties. A City Commission appointment should not be used as political "reward." Concerns about an individual City Commission member should be discussed with the Mayor.

• **Be respectful of diverse opinions.**
A primary role of City Commissions is to represent many points of view in the community and to provide the Council with advice based on a full spectrum of concerns and perspectives. Council Members may have a closer working relationship with some individuals serving on the City Commissions, but must be fair and respectful of all citizens serving on City Commissions.

Keep political support away from public forums.
City Commission members may offer political support to a Council Members, but not in a public forum while conducting official duties. Conversely, Council Members may support board and commission members who are running for office, but not in an official forum in their capacity as a Council Member.

INSTITUTE FOR LOCAL GOVERNMENT℠
Promoting Good Government at the Local Level

www.ca-ilg.org/engagement

Preparing for Successful Public Meetings: Checklist for Before, During, and After

These are general suggestions. Formal board, commission or council meetings will have additional and more technical preparation requirements.

Before the Meeting

The Issue

- Develop a clear statement about the topic and how it might affect the public.
- Set clear expectations about the purpose of the meeting and intended outcomes.
- Create an agenda with estimated times, and whether an item is information, review or a decision.

Outreach

- Identify which types of community members you hope will attend.
- In addition to advisory boards and task forces, speak to leaders from a wide range of groups (such as school, business, faith-based, health and neighborhood groups).
- Send out an e-blast; issue a press release; post to blogs.
- Use social media to announce the meeting and invite people. Include directions, transit routes and suggestions about parking.
- Reach out to the community; talk to people one on one and to groups at *their* meetings.
- Translate outreach materials as needed and share with appropriate community groups.

Logistics

- If you have flexibility, choose a time of day that is convenient for those you are trying to include.
- Make sure the facility and equipment are suited to your intended purpose and audience.
- Determine if special accommodations are warranted (for example, food, childcare, translation services or devices).

Information

- Educate oneself and staff about the topic ahead of time.
- Line up subject matter experts as needed; explain the need to translate technical information into plain language that everyone can understand.
- Make information available to the public before the meeting, in a variety of formats including online and via community outreach.
- Invite questions ahead of time.
- Determine application of open meeting laws and assure compliance.

During the Meeting

Explaining the Process

- Be clear who is running the meeting.
- Define the goal of the meeting, key topics and what decisions will or will not be made.
- Introduce all public officials.
- Explain the meeting process, when it is the public's turn and time restrictions (and the reasons for the time restrictions).
- Clarify how comments will get recorded and used.

Information Sharing

- Have high quality visual aids and adequate handouts.
- Keep explanations as simple as possible and avoid acronyms and technical terms.

Continued on next page

Managing the Discussion

- Set a friendly tone.
- Be attentive and use active listening skills.
- Explain what plan/process the agency is using to determine what is on topic and off topic.
- Capture off topic comments to be addressed at a different time.
- Be honest about what the agency can and cannot do; define parameters.
- Solicit comments from those not heard, using direct invitation, such as a "last call" or cards requesting written comments.

Creating a Welcoming Environment

- Provide food (ideally multi-ethnic to match your community's preferences).
- Offer name tags and sign-in sheets; collect emails for follow-up (keeping in mind that it is optional for attendees to provide their names and contact information).
- Express appreciation to all attendees.
- Provide an anonymous feedback form to all attendees to learn what worked well and what can be improved for next time.

After the Meeting

- Prepare and post a meeting summary.
- Send out an "e-blast" about decisions, action items, next steps and any follow-up meetings; provide a specific contact person.
- Reach out to attendees who did not speak up during the meeting (they may care just as much but may be introverts).
- Follow up with those who might be disappointed with the decision; encourage them to stay involved.
- Keep asking for feedback and continue to provide information about the issue.
- Apply the evaluation to the next public process.

"Before the meeting, educate the public. During the meeting, educate the public. After the meeting, keep educating the public."

- Advice shared by a County Supervisor at a CSAC Institute Training

Resources Available through the Institute

The Institute's Meeting Resource Center aims to help local officials and agency staff make the most of meeting time. www.ca-ilg.org/meeting-resource-center

About the Institute for Local Government

This checklist is a service of the Institute for Local Government (ILG) whose mission is to promote good government at the local level with practical, impartial and easy-to-use resources for California communities.

ILG is the nonprofit 501(c)(3) research and education affiliate of the League of California Cities and the California State Association of Counties. For more information and to access the Institute's resources on local government 101 and public engagement, visit www.ca-ilg.org/local-government-101 and www.ca-ilg.org/ engagement. To access this resource directly, go to www.ca-ilg.org/ PublicMeetingPrepChecklist.

The Institute welcomes feedback and suggestions for improving this resource:

- *Email*: publicengagement@ca-ilg.org Subject: *Preparing for Successful Public Meetings: Checklist for Before, During and After*
- *Mail*: 400 K Street, Suite 205 ▪ Sacramento, CA ▪ 95814

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Making Your Open Public Meetings More Effective

California law provides general rules which local agencies must follow when conducting official business. In addition to state law, many local agencies have their own rules of conduct and procedure. However, merely following the laws and rules will not always result in an effective meeting. Outlined below are the basics of California's open meeting laws as well as tips for both local officials and the public to help ensure a successful meeting.

Basics of California's Open Meeting Laws

- Elected and most appointed local-agency bodies must conduct their business in open and public meetings.[1]
- The law allows for private discussion during closed sessions under very limited circumstances.[2]
- A "meeting" is any situation involving a majority of a public body in which agency business is transacted or discussed. In other words, a majority of the body cannot communicate privately about a matter of agency business no matter how the communication occurs, whether by telephone or e-mail, or at a local coffee shop.[3]
- The public must be informed of the time and place of each meeting and the issues to be addressed.[4]
- The agenda must be posted at least 72 hours in advance of a regular meeting and written in a way that informs people of what business will be discussed.[5] Special meetings require 24-hour notice to the members of the governing body and media outlets and must include a brief description of the business that will be discussed.[6]
- In general, public officials may only discuss and act on items included on the posted agenda for a meeting.
- The public has a right to address the governing body at any meeting.[7]
- Local agencies may adopt reasonable rules to ensure everyone has an opportunity to be heard in an orderly manner.[8] For example, some agencies impose a uniform time limit on each person providing public comments on an issue.
- Sign-in at meetings is voluntary. Members of the public cannot be required to register their name or satisfy any other condition for attendance. If an attendance list is used, it must clearly state that signing the list is voluntary.[9]

- Anonymous speech must be permitted.[10]
- When comments fall within the purview of the governing body, a chairperson cannot stop a speaker from expressing opinions and/or criticisms of the governing body.[11]
- If an individual or group willfully interrupts a meeting and order cannot be restored, the room may be cleared.[12] Members of the media must be allowed to remain and only matters on the agenda can be discussed.[13]
- Anyone attending a meeting may photograph or record it with an audio or video recorder unless the governing body makes a finding that the noise, illumination or obstruction of view will disrupt the meeting.[14]

Effective Public Meetings: Best Practices

Tips for Elected and Appointed Officials

- **Be Clear About the Process**
  - Be clear about who is running the meeting and explain the role of the presiding officer (chair of the meeting).
  - The chair can help ensure a more successful meeting by:
    - Explaining the meeting process and outlining local rules and procedures at the beginning of the meeting, including any limitations on public participation.
    - Assuring people that they will be allowed to share their views.
    - Reminding all participants (governing body and public) to be compassionate about the fear of public speaking; do not allow heckling or applause.

- **Be Prepared**
  - Educate yourself about agenda items before the meeting.
  - Make information available to the public before the meeting.
  - Reach out to the community; talk to community members one-on-one and to groups at their meetings.
  - Invite questions ahead of the meeting.

A Note on Civility

- First and foremost, everyone should treat others how they would like to be treated.
- Set a friendly tone.
- Demonstrate civility toward members of the governing body as well as the public.
- Embrace diverse points of view.
- Consider using titles – using titles and last name is a sign of respect.
- Separate the person from the problem – avoid personal attacks, name calling or questioning people's motives. These actions undermine your effectiveness and your message.
- Avoid engaging in debates and interruptions.
- Be attentive and use active listening skills.
- Limit statements in discussions to those that move the conversation forward.
- Keep remarks brief, to the point and non-repetitive of comments others have made.

Tips for Public Participants

- **Be Clear About the Process**
  - Understand open meeting laws, local rules and meeting procedures.
  - Understand the role of the presiding officer (chair of the meeting).

- **Be Prepared**
  - Educate yourself about agenda items before the meeting.
  - Review any informational material made available before the meeting.
  - Familiarize yourself with the members of the decision-making body so that you can address them at the meeting.

- Reach out to your local decision-makers and agency staff before the meeting and share your thoughts in advance.
- Submit letters of support or opposition, or any questions you may have to the decision-making body before the meeting.
- If planning on making comments during the public comment period, prepare your remarks in advance.

About the Institute for Local Government

ILG is the nonprofit 501(c)(3) research and education affiliate of the League of California Cities, the California State Association of Counties and the California Special Districts Association. For more information and to access the Institute's resources on local government basics visit www.ca-ilg.org/local-government-basics.

The Institute welcomes feedback on this resource:

- *Email:* info@ca-ilg.org Subject: *Making Your Public Meetings More Effective*
- *Mail:* 1400 K Street, Suite 205 ▪ Sacramento, CA ▪ 95814

ENDNOTES

[1] *See* Cal. Gov't Code § 54952.2(a); Cal. Gov't Code § 54954.2(a).
[2] *See* Cal. Educ. Code § 72122.
[3] *See* Cal. Gov't Code § 54952.2(b); Cal. Educ. Code § 72121.
[4] *See* Cal. Gov't Code §§ 54954.2, 54956, 54956.5.
[5] *See* Cal. Gov't Code § 54954.2.
[6] *See* Cal. Gov't Code § 54956.
[7] *See* Cal. Gov't Code § 54954.3.
[8] *See* Cal. Gov't Code § 54954.3(b); *White v. City of Norwalk*, 900 F.2d 1421, 1425 (9th Cir. 1990).
[9] *See* Cal. Gov't Code § 54953.3.
[10] *See* Cal. Gov't Code § 54953.3.
[11] *See* Cal. Gov't Code §§ 54954.3(c), 54957.9; *Perry Educational Association v. Perry Local Educators' Association*, 460 U.S. 37, 46 (1983).
[12] *See* Cal. Gov't Code § 54957.9.
[13] *See* Cal. Gov't Code § 54957.9.
[14] *See* Cal. Gov't Code § 54953.5(a).

Relationship Between City Council and City Manager Staff

A Key Ingredient for Success: An Effective City Council/City Manager Relationship

Kevin C. Duggan
ICMA West Coast Regional Director

Introduction

Mayors and councilmembers need to have effective working relationships with a number of key audiences in order to successfully undertake their responsibilities. These audiences include citizens/voters, community groups, the press, other governmental agencies, other elected officials, nonprofit organizations and many more. However, critical to a successful and satisfying career on the city council in a city council/city manager form of government is a successful and effective working relationship with the city manager. This article suggests the necessary ingredients for a mutually successful council/manager working relationship.

The City Council/City Manager Form of Local Government:

The "Council/Manager Plan" is designed for the elected city council to set policy direction as the direct representatives of the community with the city manager providing the professional expertise to manage the organization and carry out the council's direction. Policy direction is provided in a variety of ways, including through local laws/ordinances, planning policies (general plan and zoning), financial policies, the annual budget and capital improvement plan, the adoption of city council policies and through numerous other program directives.

The city manager is responsible for carrying out the council's policy direction through the day-to-day management of city functions, including the oversight of city operating departments. Key tasks associated with this role include the hiring and supervision of department heads, the implementation of the annual budget and the assurance of quality service delivery. This "plan" is predicated on the philosophy that elected representatives are better able to make community value judgments on behalf of residents and translate these values into policy direction—the "what" in city government. It is also based on the belief that professional staff are best able to determine the "how" of implementing policies and delivering day-to-day services due to their experience and training. Since both roles are closely related, it is the city manager's responsibility to coordinate between both realms to assure the effective delivery of services consistent with city council direction.

This is often referred to as the policy/administration dichotomy (the separation of these responsibilities)—which, oftentimes, has a good deal of "gray" on the boundaries. When it works most effectively, the elected officials focus on the big picture of policy

development and minimize their role relating to administrative implementation while the staff works to avoid an undue influence on policy development while focusing on policy implementation and service delivery. While the line between the two can become blurred, the city council/city manager system is subject to failure if the line is disregarded.

If the city council and the city manager have an effective and mutually supportive working relationship, the likelihood of the policy and administrative roles being effectively coordinated increases significantly, resulting in a more successful city governance and management.

Among the issues to consider in trying to establish the best possible city council/city manager working relationship are the following:

- The relationship cannot be taken for granted and requires attention and work to establish and maintain. If not diligently pursued, it will not be accomplished.

- The work of city councils is not easy! Not only do you confront the typical challenges of group decision-making, but the "group" in this case may not have a great deal in common. Also, the issues can be weighty and controversial. The decision-making is also done in public, often on TV or the Web, scrutinized by the public and press, and anyone can join in on the deliberations.

- Among the factors that can get in the way of an effective relationship include:

  — Not understanding/appreciating/respecting each other's roles.

  — Differing philosophies.

  — Differing personalities.

  — Challenging issues.

  — External pressures from the media, community groups, employee organizations, etc.

- Fully appreciate that you need to establish a good working relationship with your fellow councilmembers and the city manager in order to maximize:

  — Organizational performance.

  — Organizational reputation.

  — Value to the community.

- Personal reputation.
- Community pride and confidence.

- Don't underestimate how important it is to a city manager to have a good working relationship with the city council. It has been reported that the relationship with the city council is the primary factor impacting a city manager's job satisfaction. Among the reasons for this are the following:
  - City councils are the source of formal performance feedback. Like almost everyone, positive feedback from supervisor(s) is very important.
  - City councils control the city manager's job security.
  - City councils determine the city manager's compensation.
  - City councils establish the city manager's "parameters of success."
  - City council support for the city manager, particularly during tough times, is of tremendous value.

Recommended Practices:

So while the stakes are high and the challenges significant, there are a variety of "best practices" and techniques that can improve the odds of your individual success as a mayor or councilmember, as well as the success of the city council and city as a whole.

The following are offered as ideas to consider in your efforts to establish and maintain a strong and effective working relationship with your city manager:

- **Recognize that you are now "different" than before you were elected (and more than you may realize):**

  You are now viewed as a community/city leader and what you do and say can have a much greater impact. Your comments will now be viewed as representing "the city." What you do and say will also be more closely scrutinized. You should be aware that the city staff will view you much differently now that you are one of the organization's leaders. Even an offhand comment can be viewed as a directive for action. So even though you may not view yourself any differently than before you were elected, don't underestimate to what degree others are viewing you differently.

- **Understand and respect the city council/city manager plan of governance:**

  It is critical for you to understand why your city is organized under this plan of governance and how it should operate. It is important to understand and appreciate the distinction between policymaking and implementation and the different roles played by individual councilmembers, the city council as a whole, the city manager and the city staff.

- **Allow time for you and the city manager to get to know each other and develop a working relationship:**

  Try not to overly rely on what you have heard from others regarding what it will be like to work with the manager—others' views may or may not be accurate. Most city managers understand the need to work very hard to adjust to the issues, concerns and priorities of the new city council. Try to be open-minded to your ability to establish a productive and effective working relationship with the manager.

- **City managers will do their best to carry out the policy direction of the city council (even when there is a major change in policy direction):**

  Professional city managers are committed to carry out the policy direction of the city council regardless if they personally agree or disagree with the policy as long as what they are asked to implement is:

  — Legal.

  — Ethical.

  — Within their/the city's authority.

  It is often misunderstood that when a city manager effectively implements a city council's policy, the manager personally agrees with the policy or can only implement city services consistent with that policy. City managers can change the organization's approach to an issue as may be directed by a new city council. Avoid overly associating the city manager with the policies that the city has previously implemented at the direction of the previous council.

- **Take your role seriously, but not yourself:**

  This common advice is particularly important for mayors and councilmembers. While you are doing important and serious work on behalf of the community, you will do it better and more effectively if you keep the normal "ups and downs" and "wins and losses" in perspective. You were elected to make tough decisions on

oftentimes controversial issues. It's a given that you will be criticized and there will be those who vehemently disagree with your decisions. That is unavoidable. Develop a thick skin and do your best to not take personally the conflicts and disagreements that are a normal part of your new role. If you don't develop a thick skin, you will overreact to criticism.

Additionally, you are now part of an organization and will be blamed/criticized for the actions of the organization that you had nothing to do with. That is the reality of your new role and you should keep that in mind.

And remember, the city manager is not always to blame when things go wrong, though he/she should take appropriate responsibility for the organization's actions. It can be easy to focus your frustration on the city manager. You will be happier and more effective if you can experience the normal "ups and downs" of city life without needing to always find someone at fault.

Whatever the issue or encounter, try not to take it personally. Try to keep personal likes and dislikes out of the equation. Your fellow councilmembers and the city manager are not your family or personal friends; they are your "professional colleagues," and you need to work effectively with them even if you would not select them as friends.

Lastly, always "live to fight another day." There are always future issues to decide; focus on those versus the votes already taken. And always remember not to burn bridges due to a difficult defeat; you will need those "bridges" for future votes!

- **Appreciate the legitimate difference between the "community perspective" and the "professional/technical" perspective:**

  While you will primarily view issues from your perspective as a resident/citizen in a manner similar to the other residents of the community, the city staff will often have a more "technical/professional" perspective. What might make a great deal of sense to the staff looking at an issue from a purely "business" point of view may not be the right answer based on community perspectives and values. While the city manager will do his or her best to bridge the gap between the two points of view, it is very helpful for councilmembers to understand that while the staff should be sensitive to community values, they will often raise issues based on their professional training that can differ from a purely community values point of view. An appreciation for these varied perspectives is critical to the council-staff relationship. That does not mean the one perspective is "right" while the other is "wrong"; but both parties should try to understand and appreciate the views of the other.

- **Don't fall into the trap of feeling you are VERY special:**

  While being elected to a city council is an honor bestowed upon you by the voters, keep that "honor" in perspective. Citizens view electing you as showing trust in your judgment in representing their interests in community decision-making. They did not elect you because they felt you were personally deserving of special rights and privileges. Don't expect the city manager or staff to be able to assist you in ways outside your formal role on the city council. By and large, they will be required to treat you just the same as any other citizen on matters outside the realm of your official duties. Any compensation and "perks" of office should be visible and public.

- **Professional city managers will not "play favorites":**

  Professional city managers will strive to have a positive working relationship with all the members of the city council regardless of personality, philosophy or positions on specific issues. They will also not let personal likes or dislikes affect how he or she interacts with councilmembers, and you should not expect the manager to act otherwise.

- **It is critical to city managers to have clear policy direction:**

  The city manager and the city organization cannot carry out the policy direction of the city council if that direction is not clearly established. The clearer the direction, the more effectively the manager and staff can implement. Even when the council is split on an issue, the majority's will needs to be clearly stated. The manager should seek clarification from the city council when necessary.

- **Be sensitive to the need for city managers to sometimes tell you "what you don't want to hear":**

  One of the least favorite tasks for a city manager is to tell an individual council-member or the council as a whole something they don't want to hear. This could range from a mistake the organization has made to informing a councilmember that something they want done (or want to do) cannot be done or is not appropriate. While city managers try to be as flexible as possible in meeting the needs of the city council, you will not be well served by a manager who will not tell you when something is not appropriate or cannot be achieved simply to avoid appearing uncooperative. While the manager needs to be clear why the request cannot be fulfilled, it is very helpful to understand the manager has a professional obligation to give you advice contrary to what you would like to hear when he/she is so required.

- **Why managers can't always do what you want them to do:**

  The manager can often be confronted with a situation of an individual council-member wanting something done that is not consistent with the wishes of the city council. The manager needs to respond to the direction of the city council as a whole. While managers try to be as responsive as possible to the needs/desires of individual members, on matters of any consequence, the direction of the city council will often be required.

- **Take your role to evaluate your city manager's performance seriously:**

  Like any other employee, the city manager benefits from regular and thoughtful performance evaluations. Performance evaluations are an important communication tool between the manager and council. Working for multiple individuals is challenging enough without clear and consistent feedback on performance. At least annual evaluations should be conducted. This provides the opportunity to communicate how the council views the manager's performance, including areas of strength and areas for potential additional emphasis. This is also the only opportunity for the council as a whole to provide this input in private. Use this valuable communication tool effectively.

- **Tolerance for organizational imperfection (mistakes!):**

  While no one likes mistakes, they are unavoidable in the context of organizational life. Cities are complex organizations dealing with a wide variety of services with unique and sometimes challenging clientele. It is not a matter of whether mistakes will be made, but when. It is critical as a leader of your city that you react to mistakes appropriately. While mistakes should be avoided to the greatest extent possible, overreacting can cause further damage. You should expect that mistakes will be addressed promptly, fully disclosed and that steps will be taken to avoid repeating the same mistakes again. You will need to trust the manager to follow up and effectively address the situation when organizational miscues occur. So, have high expectations but recognize that mistakes will occur, even in the best organizations and try not to overreact when they do.

- **Support of reasonable risk-taking:**

  High-performing organizations will occasionally need to take "reasonable risks" in order to achieve community objectives. Sometimes these endeavors will not be successful. However, organizations that avoid ANY unnecessary risk are not likely to accomplish a great deal. While city councils need to be informed and concur that the risk being taken is reasonable for the potential benefit being gained, councils should also be understanding that projects and initiatives that have inherent unknowns may not always turn out as hoped. Intolerance for any

mistakes/risk will breed an overly conservative organization and will stifle creativity and flexibility and the benefits these values can bring.

- **Try to focus feedback on service quality, not individuals:**

  An ongoing challenge is the difficulty of reconciling the ultimate responsibility of the city council for city service quality versus the need to avoid interfering in the daily management of the organization. It is much better for the city council to communicate service level or quality concerns to the city manager versus performance judgments regarding individual staff members. It is particularly inappropriate for individual members or the council as a whole to try to direct the manager to hire, fire, or promote members of the city staff.

- **Don't expect managers to take sides in councilmember disputes:**

  Regardless of how they may personally feel, most city managers will avoid, at all costs, "taking sides" in disputes between councilmembers. While on occasion the manager might try to help reconcile councilmembers, don't expect the manager to take your side in a dispute with a fellow member. Even if they may agree with you, most managers will avoid taking part in public or private criticism of council-members unless professionally required to do so in extreme cases.

- **Don't jump to conclusions regarding citizen/customer feedback:**

  While it is your responsibility to be available to listen to citizen and customer feedback regarding the city organization, be careful not to jump to conclusions based on what you are told. Oftentimes an individual may sound completely sincere and credible while providing you an inaccurate account of their experience with the city organization. It is best to not jump to conclusions, one way or the other, until the manager is able to provide you a response to the concern. It is embarrassing to criticize staff for poor performance only to find out that the information you relied on was not accurate. At the same time, the manager needs to not be overly defensive regarding staff performance until he or she also has heard "both sides of the story."

- **Don't expect the manager to exercise "political leadership":**

  While managers are inherently leaders of their organizations and, to varying degrees, in their communities, their role is not to be political leaders. That is, it is not intended for the manager to be "out front" on community policy issues. Sometimes city councils want managers to take leadership (advocate publicly) on controversial issues to avoid potential political consequences to themselves. While tempting, this is contrary to the intent of the council/manager plan under which the elected officials are to take the lead on purely policy matters.

- **Disagree with the recommendation/don't attack the "messenger":**

  When dealing with a difficult issue at a council meeting, it can be tempting to not only disagree with the recommendation being presented, but to challenge/ discredit the manager or staff member presenting the recommendation. The best practice is to focus your comments on the recommendation, not the individual. Having a policy discussion devolve into a personal attack is uncomfortable and embarrassing to everyone involved. Even if you are frustrated by the recommendation, it is poor form to attack the presenter. If you do have concerns regarding how a recommendation was developed or presented, that should be provided privately to the manager.

  P.S.: Don't play "stump the staff" by trying to ask questions at the meeting that you think staff will have difficulty answering on the spot. It doesn't really make you look smarter, nor is it helpful to the deliberations to ask a question that cannot be answered. While staff members should work diligently to anticipate questions, it is not possible to anticipate all possible questions. If you really want the answer, get the question answered before the meeting or provide a heads up regarding what you will be asking.

- **Conduct yourself at council meetings in a professional/businesslike manner:**

  Even on very controversial topics with greatly varying opinions, the council deliberation can be and should be "businesslike" and professional. While it may be more entertaining (possibly from a reality TV perspective) to see councilmembers and citizens yelling and having temper tantrums, it gets in the way of thoughtful deliberations and only tends to lower the respect for the council and city in the eyes of your constituents.

- **Consider the use of council team-building and goal-setting workshops:**

  Recognizing the importance of both effective councilmember/councilmember and council/city manager working relationships, often an investment of time in team-building workshops is very worthwhile. These workshops allow for a thoughtful conversation of working relationships outside the context of discussing specific issues. These discussions can help create a better understanding of work styles and perspectives.

  Additionally, recognizing that clear direction and priorities are critical for effective council/manager relations, goal-setting workshops can be very effective forums for establishing city council and organizational priorities.

- **Have a clear understanding with the manager of the type and frequency of communication you prefer:**

  While a fundamental value of city managers is to provide regular and complete information equally to each councilmember, councilmembers can vary significantly regarding the type and frequency of contact with the manager they desire. While the manager will use written reports in one form or another as a base line of information to all the members, it is important for the manager to understand your preference for how information should be communicated, including the frequency of personal contact. While some members prefer regular "face-to-face" contact with the city manager, others prefer less time-intensive information-sharing methods. While sharing the same information among all councilmembers, it is helpful for you and the manager to understand how much and what type of contact you prefer.

- **Do your homework:**

  It takes time and effort to be a successful councilmember. It makes the manager's and staff's job a lot easier if you have reviewed the reports and related materials provided to you prior to the city council meeting. This facilitates efficient meetings, accelerates decision-making and gives the impression that staff and council are working well as a team. Additionally, it will avoid you appearing unprepared to your fellow councilmembers, the staff and your constituents.

- **Trust above all:**

  As in all relationships, the city council/manager relationship must be based on trust. Other potential obstacles such as differing personalities, styles, philosophies, etc., can be overcome if there is mutual trust. Without trust, little else will be successful. Both parties need to treat each other with respect and be truthful and forthcoming in their dealings.

- **No Surprises:**

  Both the manager and council should do their best to make sure that important information is not first learned from others. While in this age of instant communication this is more difficult, and in some cases impossible, the parties should do their best to make sure that noteworthy information to which they are privy is not communicated to other organizational leaders by third parties (particularly the media). The manager needs to work hard to make sure that the council is not taken off guard while councilmembers should keep the city manager in the loop as well. "Surprises" can have a very negative impact on the working relationship in that it speaks directly to the trust issue.

- **Work through the city manager to get things done:**

  While practice and philosophy can vary to some degree between cities, council-members should generally work through the city manager to obtain action by staff. Individual councilmembers are not authorized to direct staff, though routine referral of citizen requests (or to simply request information) is sometimes appropriate depending on local practice. Coordinating through the manager will make sure the issue is sent to the right staff person for action and will allow the manager to confirm timely follow-up. This also helps the manager stay informed regarding issues of community concern.

- **Council/Mayor Role:**

  It is also important to make sure there is clarity between the council, the manager and the mayor on respective roles. At times there can be a conflict between the role the mayor views themselves as playing and the expectations of the remainder of the council. It is difficult if the manager gets caught in a dispute over these respective roles. In particular, how the city manager relates to the mayor versus the other councilmembers needs to be clear.

- **Don't blame the manager or staff for carrying out the direction of the city council:**

  The city manager and staff are required to faithfully carry out the direction of the city council, regardless if they did or did not recommend it and regardless if some councilmembers oppose it. Respect the staff for faithfully carrying out the will of the council, whether or not you share the view of the council majority.

- **If the council/manager relationship is not going well:**

  If you or the council are having difficulty with the city manager, try your best to resolve the issue. First of all, find an appropriate way to communicate the concerns. The manager can't respond if he/she is not aware of the concern. As noted earlier, try to obtain clear council consensus for the expectations for the manager and communicate those expectations clearly. Try to be optimistic regarding the possibility of the manager making adjustments to satisfy the concerns of the council and give sufficient time to do so. Additionally, provide the manager opportunities to respond to the feedback and communicate how he/she will address the concerns.

- **If all else fails and there needs to be a "parting of the ways":**

  A forced separation of the manager is not a good experience for the council, the manager or the city. It can be costly, controversial and can cast everyone in a negative light. It can also erode citizen confidence in the city. Assuming all

reasonable steps have been taken to avoid a forced transition and recognizing a parting based on "irreconcilable differences" is always better than an "ugly, contested divorce" (in an "ugly divorce," both parties end up looking bad), keep the following in mind:

— Keep it professional.

— Don't unnecessarily damage the manager's reputation—it is not needed to make a change.

— Provide a reasonable period of time for the manager to find another position or provide reasonable severance—it takes time to find a manager's job.

— Remember, how you handle the transition of the current manager will have an impact on the quality of the candidate pool for the next manager.

Summary/Concluding Thoughts:

An unstable council/manager relationship has negative consequences for the city council, the manager, the organization and the community. A positive and mutually supportive relationship will increase the odds of having a high-performing and successful city. The councilmembers and manager need to make creating, supporting and sustaining the relationship a high priority. If made a high priority, the odds of success are great.

Remember that your service on the city council is a unique honor that has been bestowed on you by your fellow citizens. While it is often a challenge, with inherent difficulties, someone needs to do it and your community has selected you for that responsibility. You have been selected to serve in a professional and honorable manner, during good times and bad. Your service on the city council will be over soon enough. Conduct yourself in a manner that will allow you to look back with pride—not only for what you accomplished, but also the way in which you conducted yourself (which will likely be remembered the longest).

INSTITUTE FOR LOCAL GOVERNMENT

Leadership & Governance: Tips for Success

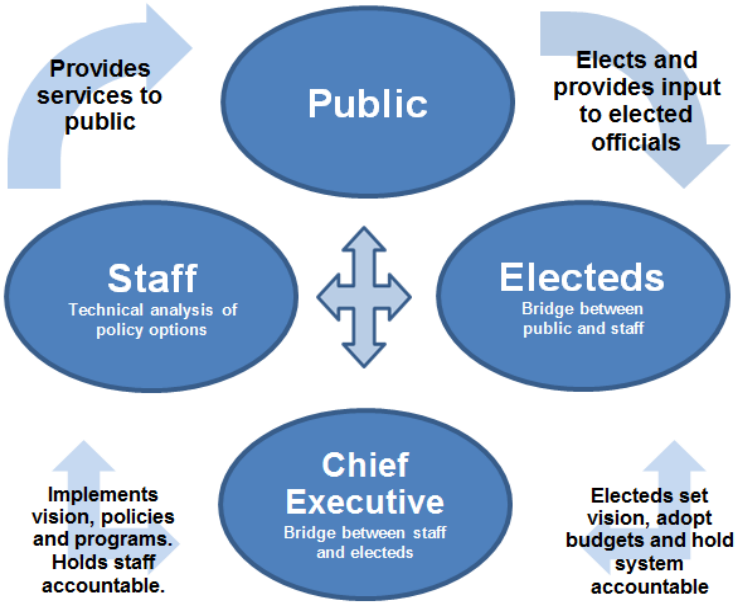
Electeds and Staff Bring a Different & Necessary Perspective

Understanding and embracing different perspectives is part of what makes our democratic institution at the local level so great. Both perspectives are vital when making decisions in the community's interests.

- Elected officials focus on what their constituents value and need from the agency; and
- Staff has technical expertise in policy areas and what can work, given their day-to-day experiences with implementing agency policies, practices and service delivery that can help inform the decision-making process.[1]

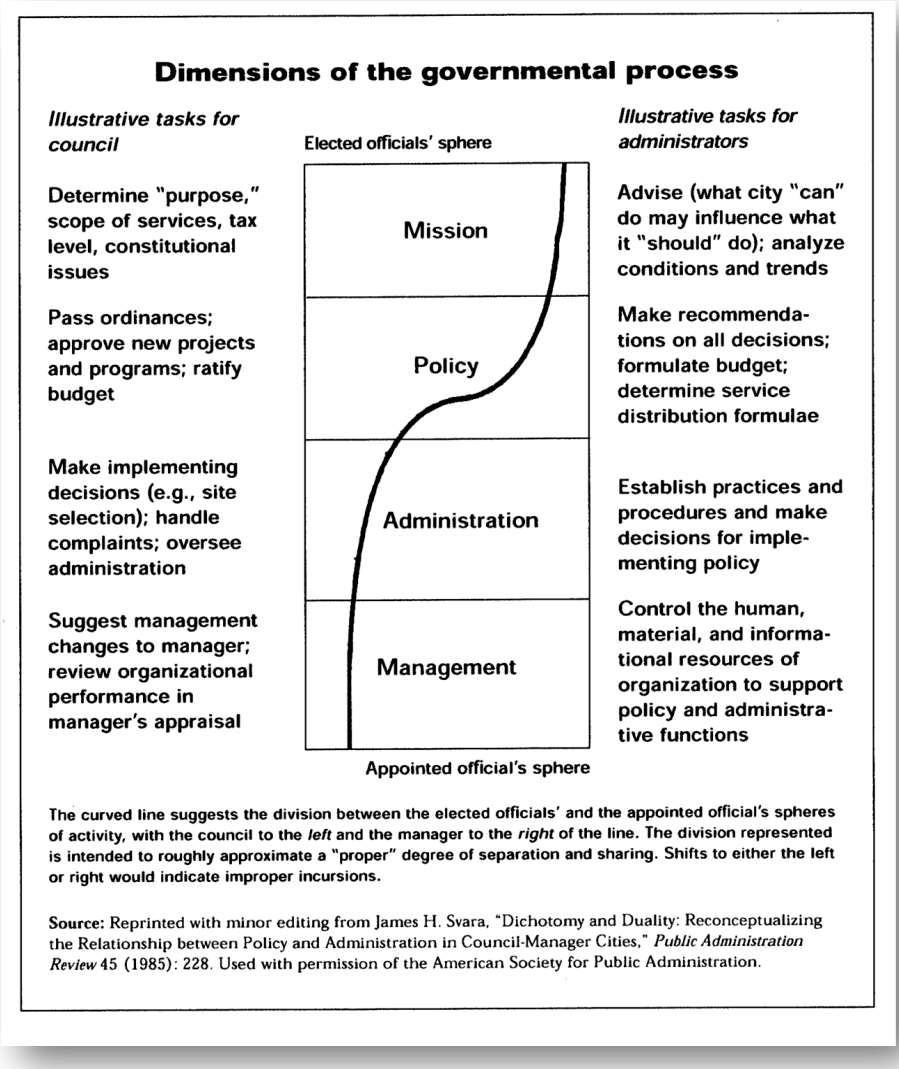
Bridging Function

Elected officials play a key bridging function between the community needs and staff; the chief executive officer in turn plays a bridging function between elected officials and staff.



Role Division

Current thinking is that elected and appointed officials operate in all four dimensions of the governance process: mission, policy, administration and management, although to differing degrees.[2] The graphic [3] below illustrates this phenomenon. The curved line illustrates the division of roles between governing boards and executive staff; how this line looks for each local agency varies.



Role Clarity

A shared understanding of the chief executive's role and the governing board's expectations optimizes the working relationship. This understanding is informed by local charter and ordinance provisions that provide the overall framework for the relationship.

- The process of developing such a shared understanding begins with the hiring process and each participant in the process being forthright about their respective expectations.
- An annual evaluation process is an ongoing opportunity for such communication, particularly as governing board members change.

Staff will be most able to perform to expectations if those expectations are clear and mutually acceptable.

Tips for Governing Board Members

Setting Goals and Priorities. A helpful practice is to have the governing board establish priorities and strategic goals for the organization; such goals and priorities are a tool to guide the chief executive and staff on where to focus their efforts.[4]

Establishing an annual time for board reflection on community priorities would also offer an opportunity to discuss decorum among members and the executive-board relationship.

Limited Resources Means Difficult Trade-offs. An unhappy reality is that there are likely insufficient resources to accomplish everything that the community and elected governing board members desire. This reality creates challenges for the chief executive in proposing a budget as well as well as managing the agency work force.

Finding Common Ground. A key skill for a governing board member is finding areas of agreement and common interests with other board members. Within the parameters of the state's open meeting laws, work with the other governing board members to find areas of agreement on what courses of action best serves the public's interests.

In the event that board members disagree, clear ground rules can quell acrimony before it becomes a public spectacle.

When the Governing Board Changes

Staff's job is to implement the policies adopted by the governing body. This includes implementing changes in policy direction when the philosophy of the governing board changes.

New majorities on boards sometimes impute the policy preferences of the previous boards to staff. This causes them to worry that staff will not be as diligent in implementing changes to previous policies. They sometimes believe staff has to change in order for policies to change.

This is another area where frank and ongoing communication is helpful. Most professional staff understand that policy directions change and that their role is to implement that change, as long as the policy falls within the bounds of the laws and public service ethics.

Allow a certain amount of time for staff and the new majority to get to know one another and see if a productive working relationship can occur.

Understanding that Public Policymaking Involves Value Choices. Policy choices tend to be choices among different values, including the values of fairness, compassion, efficiency, individual rights, common good and others. The "correct" answer is likely to be an elusive goal,[5] particularly since members of the community as well as other members of the governing board are likely to give different values different weight.

Chief Executive Works for the Entire Board. All members of the body were elected by the community to participate in the agency's decision-making processes. As a result, the chief executive's responsibility is to strive for positive working relationships with all members of the body equally and provide information equally to all members of the body.

Communications Needs. Let the chief executive know what kinds of communications work for you. While the chief executive's job is to share information with all members of the governing body equally (and typically through a combination of written communications and one-on-one meetings), governing body members will often have different communications preferences as to what combination of these two techniques work best for them.

Transparent Decision-Making. The governing board makes decisions (and gives staff direction) at open and well-publicized governing board meetings. These decisions occur after listening to, inquiring of and learning from interactions with all segments of the community and staff.

The Benefits of Collaboration. Be forthright on your objectives and goals with the chief executive, so he or she can do what is possible to help you achieve them (as opposed to "going around" him or her). A chief executive will try to be as responsive as possible to the needs of individuals on the governing board; however understand that significant tasks are likely to require governing body buy in and some tasks may conflict with priorities and policies adopted by the full governing body.

Ground Rules. A helpful practice is for the governing board as an entity to adopt, regularly review and update how the board will conduct its meetings and make decisions.[6] Such protocols typically address meeting procedures (agenda preparation, how to put issues on the agenda, debate and voting procedures (parliamentary rules) and standards of decorum (civility).[7]

Managing Difficult Board Members. Staff's role is to provide information to enable elected officials to knowledgeably participate in the decision-making process. However, from time to time, there will be difficult and divisive board members that create a challenging and uncomfortable environment for both the board and staff. There is no one-size-fits-all solution to solve such a problem. In the end, the board must manage its own behavior—not staff.[8]

Staff Preparation. If you have questions, concerns and/or information needs (or know that members of the community do), provide staff a heads up in advance of meetings so staff can be prepared to address them.

Unwelcome Information. One of staff's least favorite roles is providing information and analysis that will make one or more governing board members unhappy. Typically, providing such information is part of staff's job to avoid surprising the board. If pursuing a given course of action could have negative outcomes (a lawsuit, unintended consequences or a chance that a given goal will not be achieved), it is

staff's job to let the board know so the board can factor such information and risks into the decision. If possible, staff will also try to identify options and alternatives for reducing the risk of negative outcomes.

Directing Questions and Criticisms. Question, and if appropriate, criticize ideas, policies, programs or outcomes, but not the individuals involved (whether those individuals are fellow elected officials, staff or members of the public). Remember that staff is your tool to accomplish your objectives. Public praise for things you like will motivate; public criticism and embarrassment will discourage. Criticism or information regarding staff missteps should be directed to the chief executive to address.

Responding to Mistakes and Disappointing Outcomes. Mistakes are likely to happen in any organization. If something bad happened, ask what measures can and will be taken to prevent such missteps in the future.[9]

Tips for Chief Executive & Staff

Clear Goals and Priorities. A key task is for the governing body and chief executive work together to assure staff has clear direction on the agency's goals and priorities.

Goal setting workshops can be useful forums for establishing governing board and organizational priorities. This includes holding annual workshops in which goals are set, reviewed, updated and/or retained, as well as direction on how the group wants to be kept updated on progress, goals and priorities.[10] Follow up, of course, is critical to maximizing a goal setting session's value.[11]

Such clarity enables staff to know where to devote scarce/limited resources in proposing budget and work program priorities for the governing board's consideration.

Documented goals and priorities serve as a reference point when issues and potentially competing priorities come up throughout the year. Priorities may need to change of course; the key is if a new priority is added, an old one must be subtracted.[12]

Engaging a broad range of the community in the conversation about hard choices can help the governing body in aligning agency goals with community wishes. Such processes offer important opportunities to inform and consult the community on what can be difficult tradeoffs due to scarce resources. Such engagement can also make the resulting decisions more enduring.

Focus on the Core Functions. For those areas over which the agency has discretion (for example, non-state mandated efforts without maintenance of effort requirements), the conversation can focus on identifying what is most important for the agency to accomplish. This tends to be an intersection of three things: what the community is passionate about, what the organization can be best at and what resources are available.[13]

Identifying this intersection does not necessarily mean that tasks outside the intersecting area will not get accomplished. Some functions may be more effectively accomplished by other agencies, community-based organizations or the private sector.

Capacity Building. The entire community benefits from well-prepared and knowledgeable local officials. Some tools for assisting with this goal include:[14]

- Leadership academies that help the public, including potential future governing board candidates, understand key elements of the agency's work and processes.
- Candidate orientations that provide information about agency functions, pending policy issues, including budget issues and any regulations that apply to the campaigning process.
- Newly elected official orientations conducted as soon as possible after election results are certified. Content should include the nuts and bolts of how to accomplish objectives in their new role, as well as briefings on current issues the agency faces, the status of long-range plans and capital projects, and the budget process. Connecting newly elected officials with former electeds who are respected in the community and can offer advice and share experience is also helpful.[15]
- Ongoing education through local workshops, references to helpful information about local governance and policy issues and conference attendance.

Credit for Commitment to Elective Office. One dimension of staff's role is to help governing board members receive the recognition they deserve for their actions as public servants.[16] As media opportunities occur, ensure the electeds are aware so they may receive recognition for their service on community issues.

Evenhandedness. A positive working relationship with all governing body members regardless of personality, philosophy, positions on issues or whether the member is in the majority or minority on the body (remember majorities can change) can be another important success strategy. Communication preference may require that you spend more time with certain members. "Evenhandedness" does not necessarily mean communicating with all decision-makers in the same way.

A Sustained Effort. Successful relationships require ongoing effort and attention. Communication is a central element of this effort.

- Staff's role is to present information and analysis objectively, fairly and without spin.
- This includes willingness, when necessary, to deliver unwelcome information and minimize surprises for the governing board.

When Elected Officials Disagree with Staff Recommendations and Analysis. Professionals recognize smart, conscientious and reasonable people can disagree on the best course of action (particularly given the differing perspectives that staff and electeds contribute to the analysis of what best serves the community's interests).

- Such disagreements are not and should not be taken personally.
- All governing board decisions must be faithfully implemented, even those which differed from what staff recommended.
- Staff should never speak ill of elected officials, even to seemingly sympathetic and discreet listeners. Word of what was said inevitably seems to get back.

Attention to Detail. Doing the small things well helps governing board members trust staff on the big items.

Defining Success. Enjoying good relationships with elected officials is a worthy goal, with a few caveats.

- Be clear on the lines (legal, ethical and professional) over which you are not willing to step, before finding yourself in a difficult situation.
- As difficult as it may be, your professional reputation for competence and integrity in the long term is a more valuable career asset than keeping a particular job.

More Resources

International City/County Management Association and National League of Cities, *Working Together: A Guide for Elected and Appointed Officials* (1999)

International City/County Management Association and National League of Cities, *Leading Your Community: A Guide for Local Elected Leaders* (2008)

This resource reflects the insights and thoughts of a number of individuals, including: Kevin C. Duggan, West Coast Director, International City/County Management Association, Pete Kutras, Retired County Executive, Santa Clara, and Principal Consultant, Municipal Resource Group, LLC, Richard A. Haffey, County Executive Officer, Nevada County, and William Chiat, Director, CSAC Institute for Excellence in County Government.

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[1] International City/County Management Association and National League of Cities, *Working Together: A Guide for Elected and Appointed Officials* (1999) at 22.
[2] *Working Together: A Guide for Elected and Appointed Officials*, at 19-20.
[3] Based on the work of James H. Svara in "Dichotomy and Duality: Reconceptualizing the Relationship between Policy and Administration in Council-Manager Cities," *Public Administration Review* 45 (1998): 228. This material is reproduced with permission of John Wiley & Sons, Inc.
[4] Kevin C. Duggan, A Key Ingredient for Success: An Effective City Council/City Manger Relationship, at 9.
[5] Julia Novak and John Nalbandian, Preparing Councils for Their Work, *PM Magazine*, August 2009, available at http://webapps.icma.org/pm/9107/public/feature3.cfm?author=Julia%20Novak%20and%20John%20Nalbandian&title=Preparing%20Councils%20for%20Their%20Work&subtitle=
[6] *See* International City/County Management Association and National League of Cities, *Working Together: A Guide for Elected and Appointed Officials* (1999), at 59. Mike Conduff, Council Relations, *PM Magazine* (June 2012), available at http://webapps.icma.org/pm/9405/public/council.cfm?author=&title=Council%20Relations&subtitle=
[7] *See* International City/County Management Association and National League of Cities, *Leading Your Community: A Guide for Local Elected Leaders* (2008) at 30-33.
[8] Julia Novak and John Nalbandian, Preparing Councils for Their Work, *PM Magazine (* August 2009), available at http://webapps.icma.org/pm/9107/public/feature3.cfm?author=Julia%20Novak%20and%20John%20Nalbandian&title=Preparing%20Councils%20for%20Their%20Work&subtitle
[9] A Key Ingredient for Success: An Effective City Council/City Manger Relationship, at http://webapps.icma.org/pm/9107/public/feature3.cfm?author=Julia%20Novak%20and%20John%20Nalbandian&title=Preparing%20Councils%20for%20Their%20Work&subtitle
[10] Julia Novak and John Nalbandian, Preparing Councils for Their Work, *PM Magazine* (August 2009) available at http://webapps.icma.org/pm/9107/public/feature3.cfm?author=Julia%20Novak%20and%20John%20Nalbandian&title=Preparing%20Councils%20for%20Their%20Work&subtitle=
[11] Mike Conduff, ICMA-CM, A Great Retreat!, *PM Magazine* (April 2012) available at http://webapps.icma.org/pm/9403/public/council.cfm?author=&title=Council%20Relations&subtitle=
[12] Frank Benest, Ten New Rules for Elected Officials in Times of Economic Meltdown (2011) available at http://www.ca-ilg.org/post/leadership-strategies-times-economic-meltdown.
[13] Adapted from Jim Collins, *Good to Great in the Social Sectors*, 2005 at 19 (the "hedgehog concept). Also recommended by Frank Benest in Ten New Rules for Elected Officials in Times of Economic Meltdown (2011) available at http://www.ca-ilg.org/post/leadership-strategies-times-economic-meltdown.").
[14] From Mike Conduff, Council Relations, *PM Magazine* (June 2012), available at http://webapps.icma.org/pm/9405/public/council.cfm?author=&title=Council%20Relations&subtitle=
[15] Preparing Councils for Their Work, *PM Magazine*, available at http://webapps.icma.org/pm/9107/public/feature3.cfm?author=Julia%20Novak%20and%20John%20Nalbandian&title=Preparing%20Councils%20for%20Their%20Work&subtitle=
[16] This concept is part of the International City/County Management Association's Code of Ethics:
Tenet 6. Recognize that elected representatives of the people are entitled to the credit for the establishment of local government policies; responsibility for policy execution rests with the members.

INSTITUTE FOR LOCAL GOVERNMENT

Board/Executive Staff Communications Strategies

Establish Communication Priorities at the Beginning of the Relationship

Establishing rapport and communication styles early on will help throughout the board members' and executive's appointment tenure.

Ongoing Communications/No Surprises

A mutual goal in executive/board member communications is for each to keep the other informed of developments relevant to the others' roles and responsibilities. Another important goal is to avoid situations in which either elected officials or the chief executives are surprised.

Board Workshops

A board workshop, or series of workshops, can help to set goals and priorities for the agency. Workshops and communicating about decorum are key tools for the governing body. Such workshops enable the board to establish overall goals and priorities the community and objectives for the chief executive to pursue. Workshops can also create mutual expectations among board members on how they will work together to achieve goals.

Role of the Chair

One member of the board may be selected to serve as chair of the board. The chair may handle issues among the electeds as they arise so staff is not in the middle of any situations. An executive can work directly with the chair on agenda setting and logistical priorities.

Tailored Communications Methodologies

On a more day-to-day basis, regular communications between the chief executive and elected officials are advisable. How those communications occur will vary according to the preferences and styles of the individuals involved. Elected officials are likely to vary in how, when and where they want to engage in

communication with staff. As one former elected official observed, “One size does not fit all, but all need to feel fit.”

Although the mode of communication may vary; all board members should receive the same information. The method and amount of time for delivering and receiving communication may differ among members. Understanding the communication needs of each elected official is a key executive task.

Regular in-Person Meetings

Experts suggest that one-on-one meetings between the agency chief executive and each governing body member should occur frequently - if not weekly, then biweekly or monthly.

- Regular meetings with governing board are especially important when the body is divided.[1] If the chief executive meets only with members of the majority, the executive may undermine perceptions of staff objectivity and neutrality.
- Although staff is bound to implement the policy adopted by the majority, the relationship the chief executive develops must be with the body as a whole as well as with each individual who makes up the body.

Weekly Updates

Some agencies find a weekly newsletter/email from the chief executive to governing body is helpful practice.

- These should be informational only - not an effort to achieve consensus among decision-makers outside open and publicized meetings.[2]
- Executives and governing board members also need to be aware that such communications are public documents subject to disclosure to the media or in litigation.

Voice-to-Voice for Sensitive Matters

Communications relating to confidential or sensitive matters are best accomplished in person or by telephone.

Newly Elected Official Orientations

A helpful practice is for each newly-elected governing board member and the chief executive to meet individually early on. The meeting can include a tour of agency facilities and a briefing on key issues, as well as a preview of issues to be covered in any additional orientation sessions planned. It also offers elected officials the opportunity to get their most pressing questions answered.[3] For more information, visit ILG’s *New to Public Service* resources at: www.ca-ilg.org/new-public-service.

Staff Reports

Another form of communication between staff and elected officials (and others) are the staff reports the governing body receives in preparation for meetings. Good communication between the governing board and staff about the board's needs and expectations is important. In general, the following are recognized as good practices.[4]

- **Complete Information.** Staff reports should contain all of the information necessary to make an informed decision. This includes options and alternatives when appropriate, as well as anticipating questions and concerns.
- **Usability.** Complete information is useful only if it is in useable form. Executive summaries, graphics, tables and decision-trees are ways to summarize complex information in an easier-to-understand manner.
- **Plain Language.** Acronyms, jargon and technical language should be avoided. Any term that is likely to be unfamiliar to the average resident should be either defined or avoided in favor of more easily understandable wording. Be succinct and prepare executive summaries for the members as often as possible.
- **Analytic Framework.** Agency staff should use a consistent framework for presenting policy analyses. Typical components include: problem definition, options and alternatives, evaluation of options, staff recommendation, implementation and evaluation.

Subjects of Communication

Board/executive communications should include not only what is happening or needs to happen, but how decision-making processes occur. This can be especially important on major or potentially contentious issues. The governing body may feel it needs additional time to evaluate the difficult issues presented or engage in additional public engagement processes to hear and consider public input.

More Resources

International City/County Management Association and National League of Cities, *Working Together: A Guide for Elected and Appointed Officials* (1999)

International City/County Management Association and National League of Cities, *Leading Your Community: A Guide for Local Elected Leaders* (2008)

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[1] Julia Novak and John Nalbandian, Preparing Councils for Their Work, *PM Magazine* (August 2009) available at http://webapps.icma.org/pm/9107/public/feature3.cfm?author=Julia%20Novak%20and%20John%20Nalbandian&title=Preparing%20Councils%20for%20Their%20Work&subtitle

[2] *See Wolfe v. City of Fremont*, 144 Cal. App. 4th 533 (2006); Cal. Gov't Code § 54952.2(b):

> (b) (1) A majority of the members of a legislative body shall not, outside a meeting authorized by this chapter, use a series of communications of any kind, directly or *through intermediaries,* to discuss, deliberate, or take action on any item of business that is within the subject matter jurisdiction of the legislative body.
>
> (2) Paragraph (1) shall not be construed as preventing an employee or official of a local agency, from engaging in *separate* conversations or communications outside of a meeting authorized by this chapter with members of a legislative body in order to answer questions or provide information regarding a matter that is within the subject matter jurisdiction of the local agency, if that person does not communicate to members of the legislative body the comments or position of any other member or members of the legislative body.

See also Open and Public IV: A User's Guide to the Ralph M. Brown Act (2010) at 17 (noting that chief executive officer briefings can be a violation of the state's open meeting laws when the process reveals information about governing body members' respective views).

[3] From Mike Conduff, Council Relations, *PM Magazine* (June 2012), available at http://webapps.icma.org/pm/9405/public/council.cfm?author=&title=Council%20Relations&subtitle

[4] International City/County Management Association, *Partnerships in Local Governance: Effective Council-Manager Relations* (1989) at 42-45 (chapter by Kevin C. Duggan and Terry Ellis "Preparing Staff to Work with the Council").

INSTITUTE FOR LOCAL GOVERNMENT

Dealing with Bumps in the Road

At some point in the journey, the board/executive relationship may encounter difficulties. In fact, a consistently comfortable relationship could in itself be an indicator that one or both parties may be avoiding both testing ideas and possible conflict to the detriment of the agency and public they serve.

Strategies to Try[1]

1. **Avoid Complacency.** Strong relationships require ongoing investment of time. The environment, challenging situations, changes in players, unanticipated demands and day-to-day politics all place stress on board/executive relationships. Take time to step back and assess relationships on an ongoing basis. Be prepared to adjust approaches if necessary.
2. **Communicate.** Often, communication is the first place where relationships begin to suffer. Something happens; human nature can be to avoid confrontation and uncomfortable discussions. When communication barriers emerge, schedule time for a private face-to-face and earnest discussion with the individual in question. Acknowledge any elephants-in-the-room, share perspectives of what happened, and explore how to improve the relationship.
3. **Address Issues Directly.** Avoidance tends to make problems fester; rarely does avoidance cause problems to go away.
4. **View the Relationship as a Partnership.** Work together to address community needs without focusing on distinctions between policy and administration. Each party to the relationship should feel that their contributions are valued and respected.
5. **Avoid Being a Barrier to Staff Contact with Electeds.** Electeds may prefer to deal with staff directly; staff should keep the chief executive in the loop when significant issues come up in their conversations with members of the governing body.
6. **Focus Credit and Attention on Elected Officials[2].** The center of positive attention at governing body meetings or at community meetings should be elected officials, not staff.
7. **Try to See the Situation from Others' Perspectives.** Ask open-ended, non-judgmental and even-toned questions. Take a step back to assess what happened and is happening in the relationship. Ask clarifying questions to understand the perspective of the other person; share your own perspective in neutral terms. Examine the problem and not the individuals. Treat the situation as a learning opportunity to avoid future missteps.

8. **Delve Deeper**. Listen for the meaning behind the words. Try to identify the underlying issues, which may have both a logical and an emotional dimension. What are the values, beliefs and anxieties that might be at stake? Sometimes the issue is not more data and facts; it is about connecting on a more personal level. Sometimes people just want to be acknowledged and understood.
9. **Accept Responsibility.** You have surely contributed to the difficulties in a relationship, intentionally or unintentionally. Accept responsibility, apologize if necessary, discuss how to avoid a repeat and move on.
10. **DWYSYWD ("Do What You Say You Will Do").** People may judge your commitment to a board/executive relationship by what you do, not what you say. If a relationship has been damaged, the first thing people will look for is evidence of commitment to rebuild the relationship. Do what you said you will do. It will be noticed. Start with simple steps (for example, gather information, arrange a meeting, resolve a problem, or create a follow-up plan). These can be immediate and observable demonstrations of your sincerity in wanting to address concerns.
11. **Find a Confidant.** Serving as an elected official or a chief executive can be a solitary world. Identify an objective sounding board to bounce ideas off of and test assumptions and theories. The best confidants are typically outside your organization. They say what you need to hear, not necessarily what you want to hear and can help you navigate through difficult issues.
12. **Take Care of Yourself.** Maintaining a balance in the demands of public service and personal life is challenging. Make time to get away, to decompress, to work off frustrations, to reflect, and create space between public service and your private life. Working through difficulties requires a certain mental and emotional stamina. In addition, people can overreact when they are tired and under stress. Even if it is only an hour at the gym or a long weekend, make time for yourself.

Red Flags for Relationship Attention[2]

- **Instinct.** If your sense is something isn't as good as it might be, you may well be right. Don't hope it goes away.
- **Information Flows Diminish.** Sometimes one party will feel the other isn't keeping them properly informed or they aren't getting the information they need to do their respective jobs well. Other times, the issue may be that people communicate less and less frequently or information isn't being shared equally.
- **Interpersonal Relations.** Another warning sign is when the chief executive or board member stops being included in conversations that he or she would ordinarily be included in. Watch for any signs of changes in the relationship changes (less forthright/more evasive)
- **Performance Reviews.** Avoiding an annual review (the board doesn't want to give one or the chief executive doesn't want to receive one) can be a sign of trouble.
- **Badmouthing**. This usually signifies significant frustration levels.
- **Focal Point is the Staff**. Another potential sign of trouble is when the chief executive or other staff become the focus of media or election attention.
- **Dissatisfaction with Staff**. Governing board members are dissatisfied with key staff and the chief executive is perceived as not addressing the problem and/or being able to get things done.
- **Trust Diminishes**. The governing board regularly second guesses the executive's recommendations.

About the Institute for Local Government

This tip sheet is a service of the Institute for Local Government (ILG) whose mission is to promote good government at the local level with practical, impartial and easy-to-use resources for California communities. ILG is the nonprofit 501(c)(3) research and education affiliate of the League of California Cities, the California State Association of Counties and the California Special Districts Association.

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References

[1] Heifetz, Ronald A. and Marty Linsky, *Leadership on the Line: Staying Alive through the Dangers of Leading*, 2002, Harvard Business School Press, Boston.
[2] International City/County Management Association and National League of Cities, *Working Together: A Guide for Elected and Appointed Officials*, 1999 at pages 63-71.

INSTITUTE FOR LOCAL GOVERNMENT℠
Promoting Good Government at the Local Level

Attributes of Exceptional Councils

Leading public organizations and governing with colleagues on a council is a challenging art of community service. The Institute recognizes that many aspects of leadership and governance are not intuitive. This piece is intended to provide councilmembers and city managers insight into the attributes of exceptional councils as well as provide practical tips to help them become exceptional.

1. Exceptional councils develop a sense of team – a partnership with the city manager to govern and manage the city

The mayor, councilmembers and city manager see themselves and work as a team as they undertake a series of tasks to further their common purpose. The individual team members work in a coordinated and collaborative manner with a high degree of respect, trust and openness. The team values diversity in style and perspective. The team thinks and acts strategically as it examines issues/situations and decides on a course of action serving their city's mission and goals.

KEY CHARACTERISTICS

- Successfully transition from candidate to a member of the council.
- Become a champion of the city. Make decisions based on the needs and interests of the community at-large / the greater good.
- Develop, communicate and support policy goals and council decisions.
- Demonstrate a willingness to work collaboratively (as a team) and have a citywide perspective.

BEST PRACTICE TIPS

Build capacity to create a more effective team. The governance team (mayor, councilmembers and city manager) should get to know each other; how each person approaches issues, decision making style and so on. This can be accomplished at annual meetings or workshops through-out the year. In the event that councilmembers disagree, clear ground rules (norms of behavior and practice) can help quell acrimony before it becomes a problem. It's important to remember that trust is built around understanding and respect, not necessarily agreement.

2. Exceptional councils have clear roles and responsibilities that are understood and adhered.

Exceptional councils understand their role is to serve as policy maker - to represent the values, beliefs and priorities of their community while serving in the community's best interest. They carry out a variety of responsibilities including: developing and adopting a vision for the city; focusing and aligning plans, policies, agreements and budgets in furtherance of this vision; and holding themselves and the city manager accountable for results.

Exceptional councils understand that the city manager is responsible for the day-to-day operations of the city. The city manager is responsible for undertaking and accomplishing the policy objectives of the council. Exceptional councils recognize the subject matter expertise of staff and utilize their knowledge and experience to guide and inform decision making.

KEY CHARACTERISTICS

- Understand the role of local government and their responsibilities.
- Know their role- to set vision and policy, avoid micromanagement.
- Councilmembers should strive to be informed about the issues facing the city and be prepared to ask questions of staff and each other.

BEST PRACTICE TIPS

Create a shared understanding of the city manager's role and the council's expectations to optimize the working relationships. This shared understanding is informed by local charter and ordinance provisions that provide the overall framework for the relationship. The council should make time to have conversations during retreats and or study sessions to define and/or reveal and refine their role and responsibilities. Since role clarity between the city council and city management is critical to mutual success, having clear protocols helps avoid misunderstandings.

3. Exceptional councils honor the relationship with staff and each other

Exceptional councils understand that a good working relationship with staff is vital for the city to be run successfully. Exceptional councils treat each other and staff with dignity and respect. They act with civility and a high level of professional decorum. Councilmembers build trust by not playing the "gotcha game" and strive to have a no secrets, no surprises approach as an operating norm. Finally, they respect the diversity of styles and perspectives among their colleagues and staff and are open to new ideas.

KEY CHARACTERISTICS

- Councilmembers have the ability to respectfully disagree (to disagree without being disagreeable). They are able to leave it at the dais; debates are about policy, not personality.
- Exceptional councilmembers reflect positive decorum/model of leadership by providing respectful tone with colleagues.
- Establish a set of behaviors ahead of time, potentially documented in a code of conduct, to help promote civility and respect.

BEST PRACTICE TIPS

Set council priorities and strategic goals at an annual meeting; these goals and priorities are a tool to guide the city manager and staff on where to focus their efforts. This annual meeting provides time for the council to reflect on community priorities as well as offer an opportunity to discuss their decorum and their relationship among each other and the relationship between the city manager/staff and the council.

4. Exceptional councils routinely conduct effective meetings

Open and public meetings are central to democratic decision-making. Exceptional councils master the art of effective meetings. They develop and adhere to meeting protocols and processes. They spend time planning and organizing the agenda with the aim of having a more focused meeting. They allocate the council's time and energy appropriately (focused on the council's role and responsibilities) and meeting short- and long-term priorities. They honor the public's participation and engagement and they generally start on time and are held during reasonable hours.

Exceptional councils use public meetings not only for their intended purpose, information sharing and decision-making,

KEY CHARACTERISTICS

- Councilmembers are respectful of each other, the public and everyone's time.
- Councilmembers use engaging body language as a way to demonstrate respect.
- Issues are not personalized, thoughtful dialogue is the objective.
- Agenda packets are read, councilmembers come prepared and have an open mind
- Respect is demonstrated for varied opinions.
- Everyone strives to be civil and act with decorum.

but they also use the meeting to demonstrate respect and civility for each other, staff and the public. Exceptional councilmembers prepare in advance of the meeting, remain focused on the city goals and objectives and mindful of their role and responsibilities.

BEST PRACTICE TIPS

Develop and adopt (with regular reviews and updates), guidelines for conducting meetings and making decisions. These governance protocols typically address meeting procedures (agenda preparation, how to put issues on the agenda, debate and voting procedures (parliamentary rules) and standards of decorum (civility)). As part of a regular self-assessment, councils should evaluate their meetings and their effectiveness and adjust behavior and practices for better results.

5. Exceptional councils hold themselves and the city accountable

Exceptional councils operate openly, ethically and work to engage the community in a myriad of decisions impacting the prosperity and well-being of their community. Toward that end, exceptional councils consistently provide short- and long-term strategic direction and goals, as well as provide budget, program and policy oversight.

Exceptional councils hold themselves accountable for the conduct, behavior and effectiveness of the council. They establish clear priorities and goals and hold the city manager accountable for results. And finally, they embrace accountability as a process and tool to calibrate ongoing efforts to address and meet policy and program objectives.

KEY CHARACTERISTICS

- Councilmembers operate ethically and with integrity.
- Councils conduct team building / goal setting exercise to track progress towards mutually agreed upon goals
- Councils taking responsibility for the results (good and bad).
- Councils celebrate success.
- Councilmembers hold themselves responsible for adhering to operating protocols and codes of conduct.

BEST PRACTICE TIPS

Annually evaluate council and city manager performance toward achieving the city's priorities and goals (consider having this be part of an annual goal setting meeting). Council should consider assessing its own behavior and effectiveness as part of its annual self-assessment.

6. Exceptional councils have members who practice continuous personal learning and development

Governance is not intuitive. In addition, the policy and economic environment impacting cities are ever changing. Exceptional councils continually provide the opportunity to build their knowledge and skills, to enhance their understanding of key issues, increase their awareness of best practices and sharpen their leadership and governance skills.

KEY CHARACTERISTICS

- Stay informed on key issues
- Gain key insights and knowledge on all aspects of governing, from budgets to plans and everything in between.
- Learning to listen is sometimes more important than learning to give a speech.

BEST PRACTICE TIPS

Seek out national, state and local professional growth and educational opportunities. These opportunities can focus on the nuts and bolts of governing to helping you gain valuable information and/or insights on key policy issues facing your city. In addition, city run orientations for newly elected officials provide a good way to acclimate new members to the council's norms and protocols as well as the budget and key policy issues.

ICMA

MAKING IT WORK:

THE ESSENTIALS OF COUNCIL-MANAGER RELATIONS

KEVIN DUGGAN AND
MIKE CONDUFF

ICMA Leaders at the Core of Better Communities

ICMA advances professional local government worldwide. Its mission is to create excellence in local governance by developing and advancing professional management of local government. ICMA, the International City/County Management Association, provides member support; publications, data, and information; peer and results-oriented assistance; and training and professional development to more than 10,000 city, town, and county experts and other individuals and organizations throughout the world. The management decisions made by ICMA's members affect 185 million individuals living in thousands of communities, from small villages and towns to large metropolitan areas.

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FOREWORD

Establishing, nurturing, and maintaining good relations with their elected officials is one of the key components of every city and county manager's job. No matter how good you are at organizing, delegating, motivating, and implementing, if there is significant friction or loss of trust between you and the elected body, the organization and, by extension, the community will suffer. If this relationship gets too bad, progress grinds to a halt, people start taking sides, and organizational life gets very difficult. On the other hand, when the relationship is based on mutual respect, understanding of roles, and open communication, the sky can be the limit.

Fortunately, these relationship competencies can be learned, practiced, and polished—hence this book.

Additionally, we all work in a much more diverse and representative world than in years past, and developing protocols, processes, and pathways moves governance forward in very positive ways. Think of the best relationships in your life—in almost every case, these important connections revolve around shared meanings. Having mechanisms to create connections allows us to forge the bonds necessary to tackle the difficult issues that face us all from time to time and, as with relationship competencies, these process competencies are learnable.

In our roles serving ICMA—Kevin as the West Coast Regional Director and Mike as Special Liaison for Governance—we have been asked to put forth what we currently believe to be best practices in these competencies.

If you are young in the local government administration world, we hope you will find these insights particularly valuable. If you are seasoned, perhaps they can help you adjust your behavior just a bit. Of course, you may be much better at some of these than others, and you may indeed have found practices[1] that work even better for you.

In any event, we want to encourage you to bring the same professionalism, ethics, and passion you use in your management world to your relationships with your elected governing bodies. In general, these are folks who care deeply about the community—as you do—and can benefit greatly from your dedication in helping them govern with excellence!

We hope you enjoy the journey!

Kevin

Kevin Duggan

Mike

Michael A. (Mike) Conduff

1 Speaking of *practices*, ICMA's "Practices for Effective Local Government Leadership" outlines 18 core areas critical for effective local government leadership. ICMA recognizes the leadership role of local government managers in creating and maintaining resilient and livable communities. While all of the practices are relevant to the management and leadership of local government, these four practices are specific to council-manager relationships: #2, Policy Facilitation; #8, Democratic Advocacy and Public Engagement; #14, Advocacy and Interpersonal Communication; and #17, Integrity. You'll find a complete listing and explanation of the practices in the ICMA University area of ICMA's website.

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And I, Mike Conduff, wish to acknowledge my mentors Buford Watson (Lawrence, Kansas), and Bob Herchert (Fort Worth, Texas)—who very early on helped forge my perspective of how to work with city councils—and my best friend (and fellow city manager) Stan Stewart, who was always my accountability partner. I also owe a debt to my training colleague and frequent co-author Jim Hunt, past president of the National League of Cities and a 28-year member of his hometown city council, who continually gives me the opportunity to peek behind the curtain of elected officialdom and has refined my thinking on so many fronts.

Likewise, we both wish to thank our families for their unwavering support.

We'd also like to acknowledge the ICMA staff (you know who you are) with whom we've shared many career-shaping opportunities over the years. We are particularly grateful to Ann Mahoney, who as editor of this book, compiled our sometimes disparate voices into a single, coherent volume.

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Duggan has served as president of the both the City Manager's Department of the League of California Cities and Cal-ICMA. Other professional activities have included serving on the California State Board of Fire Services, participating in an International Management Exchange with Limerick County, Ireland, and serving on ICMA's Task Force on Organizational Structure and Governance. Duggan has served as an ethics trainer for ICMA and has written a number of articles for professional journals on topics ranging from budgeting during tough economic times, city council/city manager relations, and ethics.

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Chapter 1

OVERVIEW OF COUNCIL-MANAGER RELATIONS

How roles, purpose, and mutual respect shape the context for achieving effectiveness

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Few factors are as critical to the success of local government professional managers and the organizations they lead as is the quality of the relationship between the elected officials and the manager. A productive and positive relationship results in greater job satisfaction for all concerned and the effective translation of policy decisions into action. On the other hand, when the elected policy makers and the manager are not working well together, it invariably ripples through the organization and impacts effectiveness at all levels—ultimately resulting in the public not being well served.

This publication offers a variety of suggested techniques and strategies to maximize the likelihood of establishing and maintaining an effective working relationship with your governing board. Recognizing that not all the factors required for an effective relationship are in the manager's control, we created this guide to improve your ability to effectively address those factors over which you have influence.

The relationship of an appointed professional chief executive to an elected policy-making body constitutes certain basic characteristics that are constant regardless of a jurisdiction's size or form of government. And it is our intent that the principles and practices described here serve not only as a useful resource for new and aspiring managers but also as a helpful "refresher" for experienced managers.

Your Roadmap for This Publication

Making It Work: The Essentials of Council-Manager Relations starts at the heart of the matter. In this Overview chapter you'll learn why getting the relationships right from the very start is so important; how to achieve clarity of roles, desired outcomes, and policy development—and why; and what steps to take to establish mutual respect with your elected leaders. The very next chapter speaks to the skills you'll need to complement your technical and managerial expertise, offering suggestions on how to develop and use effective interpersonal and communication competencies.

Subsequent chapters offer a helpful perspective on the nature of governance; the *why* and *how* of conducting new council member orientations; how to plan and prepare for effective council meetings; the 14 steps to planning, conducting, and following up on council retreats; and things you can do to prevent or mitigate circumstances when things don't work out favorably for you. The final chapter encapsulates the advice offered throughout the book, and the resources list aggregates resources mentioned in the chapters. By the way, each chapter ends with a bulleted list of takeaways, or "Key Notes."

Also please note that throughout the text we use the terms *chief appointed official, professional manager, manager, chief administrator,* and *CAO* interchangeably. Likewise, we refer to the governing body also as the *council, the board, policy makers, council members, elected officials, and elected leaders.* We also interchange use of the word *manager* (third-per-

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son voice) with use of the pronoun *you* (second-person voice) as dictated by the immediate context.

Enough stage setting . . . let's begin!

Critical Nature of the Relationship

What factors make the board-manager relationship so critical? The most fundamental is that the council-manager form of government is based on the professional manager's effective translation and implementation of policies established by the elected officials. A positive and productive relationship between policy makers and the manager greatly increases the odds that these outcomes will occur:

- Clear policy direction provided by policymakers
- Effective implementation of policy by the manager and staff
- Shared confidence among the council, manager, and staff
- Respect for varying roles and responsibilities
- Effective service delivery to the public
- Confidence of the public in the local government.

Without an effective relationship, just the opposite is likely to occur. The trust level is likely to be low, policy direction is less likely to be clear, instances of role conflict can increase, and a lack of clarity regarding organizational direction can result, affecting both staff performance and public confidence in the institution.

When the board-manager relationship is not working well (see the "When Things Go Wrong" chapter), the likelihood of reasonable risk taking and innovation is greatly diminished. Even worse, the organization can become risk adverse, with its staff focusing on self-preservation instead of organizational effectiveness and excellence.

Establishing and Clarifying Roles

As manager, one of your greatest challenges is working with elected officials to clarify roles and responsibilities. No doubt one reason for this challenge is that under the council-manager plan, the manager has significant authority and responsibility.

While the council-manager plan (i.e., form of government) was carefully constructed to result in a well-balanced distinction between the policy-making and management roles, these roles are not necessarily intuitive to the public and elected policy makers. Here are a number of ways to achieve mutual understanding of role responsibilities:

- **Explain the purpose and history of the council-manager plan.** The reality is that few members of your community, including quite possibly new council members, are familiar with how their local government operates and why it is structured the way it is. You can show council members why the plan exists and how it works.

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Resources such as those available through ICMA's Life, Well Run program help demonstrate that this system of local government has a long and successful history and is not unique to your jurisdiction. They also help avoid the misimpression that you are promoting a government structure in your local setting to provide yourself significant power and authority.

- **Start the orientation process early.** Use council candidate and new council member orientation programs (discussed in more detail in Chapter 4) as an opportunity to review roles and responsibilities, both during the campaign and as soon as possible once candidates have been elected.
- **Describe the difference between policy making and administration.** Explain the differences between roles (recognizing that there are overlaps) and why council members are best positioned to determine the overall policy direction of the organization while you and your staff, by virtue of your education, training, and experience, are best able to implement their policy directives.
- **Emphasize that elected officials are the ultimate source of organizational authority.** While the manager often has very significant responsibilities (many of which the public might incorrectly assume are "owned" by elected officials), be clear regarding the role of elected officials as the ultimate organizational authority. Make it clear that elected officials, through their authority to determine who will be the manager, have the power to establish organizational goals, approve the budget, adopt laws, and exercise related powers—that is, they possess the ultimate authority for determining the direction of the organization and community.
- **Support the elected officials in their role.** Do all you can to make sure council members feel they are playing a meaningful role in the organization. To whatever extent they feel that they are not having a meaningful impact, they may seek to expand their roles beyond appropriate limits. You can, for example, assist elected officials in identifying and undertaking strategic planning, master planning, and the development of legislative policy guidelines. Such policy activities are much more likely to succeed with the active support and encouragement of the manager and staff.
- **Demonstrate that working through you is the best way to achieve responsiveness to council members' constituents.** Nothing is more important to elected officials than being able to demonstrate effectiveness (getting something done) to their constituents. Show them that the best way to get things done is by working through you. This will give elected officials the confidence they need and will help them avoid directly involving themselves in the implementation of policies.
- **Promote discussion of mutual needs.** It is important to initially and periodically discuss mutual understandings regarding what types of behaviors are needed for both parties to effectively perform their jobs.

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You might actually make a list of these behaviors for review and discussion. Since mutual support and cooperation are so critical to success, the investment in such structured conversations usually pays high dividends. For example, a conversation can incorporate these two sides of the relationship coin:

- The manager can help support the council by
  - Providing thoughtful, well-prepared, and clear recommendations
  - Not playing favorites among council members
  - Being responsive to citizen requests forwarded by council members
  - Keeping the council well informed with timely information.
- The council can help support the manager by
  - Respecting the manager's areas of responsibility and authority
  - Not jumping to conclusions regarding citizen complaints about staff
  - Not criticizing the manager or staff in public
  - Setting reasonable expectations for goals and projects based on available resources.
- **Leave the policy-making role to the council.** At times it's tempting to try to fill a "policy-making void." This can occur when elected officials are either unwilling or unable to take on important/challenging public policy issues. There are even times when one or more elected officials expect/request the manager to take the lead on important public policy issues.

  It is usually best to leave the policy-making role to elected officials. Exceptions to the concept may be appropriate when the manager is viewed as a more impartial voice on an issue or when the issue has significant technical characteristics.

> Nothing is more important to elected officials than being able to demonstrate effectiveness (getting something done) to their constituents. ***Show them that the best way to get things done is by working through you.***

Developing Mutual Trust and Confidence

Nothing is as fundamental and critical to the council-manager relationship than being able to establish and maintain mutual trust and confidence. If the elected officials do not trust you, or lack confidence in you, all else will be futile. You can establish and maintain the trust and confidence of your elected officials in a number of ways:

- **Demonstrate your honesty and integrity.** Without this, a positive and productive working relationship is not possible. While that may seem intuitive, many of us can take this simple fact for granted. It is also possible to squander that trust by a lack of vigilance. While most people we work with will understand that no one is perfect and that we can, and will, make mistakes, overcoming a betrayal of trust is much more difficult. And often such a betrayal of trust can occur for relatively insignificant reasons.

  We all understand that we should say what we mean and act as we profess, however, we also recognize how challenging that can be. Still,

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SIDEBAR

MORE ON POLICY MAKING

> Keep in mind that it is hard to defend the appropriateness of expecting elected officials to refrain from becoming directly involved in the management of the organization if you become directly involved in their policy-making arena.

Here are some ways you can advance role clarity around policy development:

- **Appreciate the difference between affecting policy and advocating.** Of course, there is no "bright line" distinction between issues of policy versus issues of management. Managers invariably have an impact on policy by virtue of the many recommendations they are required to make. However, there is a distinction between affecting policy development and actively advocating policy positions.

  Keep in mind that it is hard to defend the appropriateness of expecting elected officials to refrain from becoming directly involved in the management of the organization if you become directly involved in their policy-making arena. It can also be very challenging when some of your council members want you to become involved and others do not. If you have a clear and consistent philosophy regarding how you do or do not engage in policy discussions, requests from one or more council members to do so are easier to address.
- **Provide elected officials skills training to be effective policy advocates.** Not many elected officials come into office already possessing experience or skills in this area. Training can include preparing elected officials to make public presentations, providing guidelines to effectively deal with the media, and showing how to represent the organization to citizens and various advocacy groups. By helping council members develop such skills, you decrease the likelihood that you will be requested to play the advocacy role.
- **Create a framework for the council's community policy development.** Rather than just assuming that the council knows how to develop policies to guide the organization, managers can assist councils in developing structures within which the council can develop and communicate its vision for the community.

Techniques for doing this include

- Establishing a formal process for examining organizational mission and values
- Agreeing on a formal goal-setting and evaluation process
- Establishing a framework for getting early input from the council regarding policy direction in development of the annual budget
- Developing a yearly legislative agenda or calendar to identify policy issues the council wishes to pursue.

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there is no reason to be blunt or rude in order to be straightforward and accurate. Likewise, as important as diplomacy is, it must not evolve into misrepresentation or duplicity. Managers need to be aware that even a modest shading of the facts can easily be construed as misrepresentation and dishonesty.

Sometimes it is necessary to convey the hard truths, even if you know they will not be well received. Communicating these truths honestly and openly, and in a timely manner, will demonstrate that you have the strength of character to make difficult but necessary decisions.

When you accept a new position, you work hard to develop the kind of reputation that will carry you through both good and bad times. Take the need to do so seriously. Once you have established that reputation, avoid doing anything that will squander it.

> If the elected officials do not trust you, or lack of confidence in you, ***all else will be futile.***

- **Show that you respect and value the council's role.** Managers often do not fully appreciate how important it is to demonstrate to elected officials how much their role in leading government is valued and appreciated. Whether elected officials are veterans or new to office, look for opportunities to show your respect for their office and to recognize their role in the organization. Appropriate respect and deference to their roles can greatly impact how council members view themselves as well as you.
- **Communicate information clearly and accurately, and in a timely manner**. Elected officials rely greatly on the information staff provides, particularly information from the manager. They must have confidence in the accuracy of the information they receive and that they are well informed, especially when the news is bad. Officials do not like to be surprised, so be sure to consistently communicate relevant information in a timely manner.
- **Present recommendations fairly (don't "spin").** There are times when managers are so invested in a staff recommendation that they try too hard to convince the governing board to agree with the staff's opinion. Leaving out relevant facts, not impartially communicating the pros and cons of various approaches, and artificially limiting potential options are all ways that staff can inadvertently damage their credibility with the governing board.

  You need to provide information in ways that make it difficult to be accused of inappropriately managing information. When it comes to issues of significant policy impact, it's particularly important to offer the council legitimate alternatives, including a thorough review of the pros and cons of each option.
- **Make follow-through a high priority.** Consistent and reliable follow-through, whether relating to a major policy decision or a relatively minor citizen service request, is one of the best ways to establish and maintain the trust and confidence of elected officials. Effectively carrying out a policy decision that was not supported by staff communicates a

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powerful message in regard to the respect and value you and your staff have for the policy-making process. And there is no better way to establish the confidence of your elected officials in the ability of staff to undertake major projects than to effectively respond to less significant tasks—including citizen service requests—and to follow up with officials once the matter is resolved in order to close the feedback loop.

- **Allow the democratic process to play out and respect the result.** The final decisions of your governing boards will not always be consistent with your preferences and recommendations. It's especially important at those times to remind yourself and your staff that local government is operating within democratic institutions, and the ultimate right to make many decisions resides with the elected officials and/or the citizenry.

  While hard to sometimes accept, elected officials even have the right to make wrong (or what you believe are wrong) decisions. By being willing to accept such decisions (and implement them faithfully), you clearly communicate your respect for "the process," and you develop the confidence of your elected officials that you understand and appreciate both their roles and yours.

While hard to sometimes accept, ***elected officials even have the right to make wrong (or what you believe are wrong) decisions.*** By being willing to accept such decisions (and implement them faithfully), you clearly communicate your respect for "the process."

- **Tolerate imperfection.** None of us as individuals, and certainly when we operate in groups, is perfect in what we do and how we do it. The key issue is how we react to that imperfection.

  One of the unique challenges in the public sector is that those imperfections often play out on a more public stage than in the private sector. If you have a mature understanding of this as a reality of the world managers operate in, you will decrease your personal frustration level. The less you are frustrated, the more effective you can be in addressing the organization's challenges. Additionally, once you appear to become personally frustrated, the more difficult it becomes to maintain a positive working relationship with your elected officials.

- **Direct public recognition to elected officials and not to yourself.** Public recognition is a major (if not primary) motivator and compensation for being a council member. Managers need to be extremely careful to not appear to compete with their councils for this "compensation." While we all enjoy positive public recognition, managers should direct as much of that recognition as possible to their council members.

- **Play up the public perception (and reality) of the council's community leadership role.** Avoid at all costs upstaging or outshining the council. It is amazing how successful managers can be in initiating important projects and initiatives and carrying them through if they don't need to personally take credit for these successes.
- **Do the "small stuff" well.** Managers always need the trust and

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confidence of their elected officials, and they particularly need it when making significant recommendations to the board or council on important strategic issues and projects. Often these recom-mendations are related to complex and technical issues about which elected officials will need to rely on their trust of staff's honesty and competency to move forward. The best way to establish the trust and confidence needed to achieve "big things" is to consistently do the small things well.

You and your staff regularly are asked to deal with relatively minor issues (often constituent based) that c an be viewed as getting in the way of or taking time away from more important tasks. While these issues may appear to be relatively unimportant in your frame of reference, they may be very important to the constituent and the elected official. Elected officials rely on the manager and staff to solve the problems of their constituents; the elected officials' credibility is dependent on the follow-through of the staff.

Both your overall credibility and your working relationship with your elected officials are directly affected by your response to these low-priority requests.

> It is amazing how successful managers can be in initiating important projects and initiatives and carrying them through if they ***don't need to personally take credit for these successes.***

Managing the Group Process

You are probably familiar with the traditional rule of thumb that an employee should only be responsible to one supervisor. Well, that's not the reality of local government managers. Managers have multiple "bosses" (i.e., the elected officials) yet their direction comes not from elected officials as individuals but as a group.

Your ability to increase the likelihood of receiving consistent and clear policy direction from your elected board is a key factor in your effectiveness. These tips can help create a favorable environment:

- **Establish whose job it is as early as possible.** One of the major sources of conflict between governing boards and managers relates to differences of opinion regarding roles.

  Life is much easier for the manager when there is clarity and mutual understanding/agreement regarding the appropriate roles of both parties. Sometimes one or both parties simply don't want to follow the established understandings. In other instances, however, an elected official may not have been provided the necessary background information to understand the reason for the distinction in roles.

  At the same time, managers need to exercise discipline by staying in their appropriate role based on their understanding with the governing board. Deviating from agreed-upon boundaries is seldom a result of a conscious decision to interfere with the governing board. Rather, it is much more likely a result of passionately believing that a certain course of action is best for the organization and/or community and that the manager's direct involvement and influence are necessary to

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achieve the desired outcome. Nonetheless, if managers are perceived to be interfering with the governing board's policy authority, the board's respect for the manager's managerial authority will erode.

- **Seek clarity (even occasionally when clarity is not necessarily intended).** In most instances, direction from governing board members must come from the governing board as a group. Particularly in circumstances when an issue is complex and/or controversial, the direction of the governing body may not be clear. This can be a result of a true lack of clarity, or an instance when the governing board would prefer vagueness in its direction (usually when the governing board is trying not to overly antagonize a constituency on a controversial issue), or when there is a lack of consent or cohesiveness among council members.

  In these instances, you need to determine whether the lack of clarity significantly compromises your ability to effectively implement the decision. Usually the lack of clarity is not intentional, and the governing board will appreciate your desire to have clear direction.

- **Know when (and how) to intervene in the relationships between elected officials.** Not surprisingly, conflicts between governing board members often affect the functioning of the board as well as the effectiveness of the organization. There are times when one or more members of the board expect the manager to intervene. Proceed with caution:

  - *Involvement can backfire.* While most managers have the desire to try to assist their elected officials in a variety of ways, intervening in their working relationships can be difficult and have significant ramifications. You need to consider that while some members may welcome your involvement, others may not. Even worse, if you do become involved, and the issue does not improve, you may end up being blamed for the difficult relationship. Blaming the manager can become a substitute for board members taking responsibility for their own conduct.

    One approach is to provide informal feedback and suggestions to governing board members while avoiding becoming directly involved *as a go-between or mediator.*

  - *Seek allies, starting with the chairperson.* Often a better alternative to a manager's direct intervention in the relationship between governing board members is encouraging others, particularly other governing board members, to do so. Usually the first place to start is with the chair of the governing board. It is, in fact, the responsibility of the chair to facilitate the effective functioning of the governing board.

    At times, you may need to encourage the chair to become involved and/or offer suggestions on how to address the issue. Of course, it is possible that the mayor or chair may be the one wanting your direct involvement! In which case you may need to work with the mayor

> ...if managers are perceived to be interfering with the governing board's policy authority, ***the board's respect for the manager's managerial authority will erode.***

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or chair to explain why you are not the best individual to take on the role.

- *Get outside assistance.* Another alternative is to seek a qualified outside facilitator to assist with relationship issues. The manager can play an important role in these circumstances by explaining the value of outside assistance as well as assisting (to the degree requested) in identifying potential facilitators. If possible, the ideal situation is to have a qualified outside facilitator with not only well-developed skills but also an outside perspective (in addition to an assumed position of objectivity).

> It is, in fact, the responsibility of the chair to facilitate the ***effective functioning of the governing board.***

KEY NOTES

- Start the council member orientation process early—even as candidates are campaigning—and as soon as possible once candidates have been elected.
- Do all you can to make sure council members feel they are playing a meaningful role in the organization.
- Keep in mind that if you become directly involved in the policy-making arena, it's hard to expect elected officials to refrain from becoming directly involved in the management of the organization.
- Communicating the hard truths honestly and openly, and in a timely manner, demonstrates that you have the strength of character to make difficult but necessary decisions.
- Effectively carrying out a policy decision that staff did not support communicates a powerful message about the respect the manager and staff have for the policy-making process.
- It is amazing how successful managers can be in initiating important initiatives and carrying them through if they don't need to personally take credit for these successes.
- The best way to establish the trust and confidence needed to achieve "big things" is to consistently do the small things well.

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Chapter 2

THE QUALITY OF WORKING RELATIONSHIPS

Using interpersonal and communication skills to sustain a solid foundation

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The knowledge and skills local government leaders tap into range from basic administrative/management competencies, such as finance and budgeting, human resources, and capital planning, to many specialty areas, such as public safety services, recreation/library services, and various maintenance activities. And, of course, managers need to have strong analytical skills, strategic problem-solving skills, and a long-term vision for their communities and organizations.

Yet it is often interpersonal and communication skills and talents that dictate to a greater degree a manager's long-term success. These skills ultimately translate into the quality of managers' relationships with their elected officials and other key constituents. See the "If Having Good Council Relations Is a High Priority, Act Accordingly" sidebar. No matter how technically skilled and talented a manager may be, without being able to establish and maintain effective working relationships with key constituents, primarily the elected board, the manager will not be able to maintain long-term success.

Reinforcing Good Habits

It surprises some managers to find out to what degree their expertise in technical areas can be overshadowed in the minds of their elected officials by their perception of the quality of their relationship with the manager. Chapter 1 described many good habits (see "Developing Mutual Trust and Confidence") that help solidify your relationships with elected officials. Steve Bryant (ICMA state liaison for Oregon) offered his own quick list of the "top five habits" essential to effective working relationships between managers and their councils in a November 2015 Public Management article. In addition, keeping the following points in mind can help you reinforce the habits that strengthen your relationships with your council members:

- **Don't underestimate the "soft skills" that fortify relationships.** Managers are apt to put less emphasis on the soft skills early in their careers when they're refining their technical skills, which managers appreciate as critical to their success. As managers advance in their careers, the soft skills become most critical because they are fundamental to success in working with elected officials and other key constituents.

  It's not uncommon for relationship-related issues and challenges to be the greatest source of difficulty facing managers—and they are often the toughest to deal with. A 2015 survey of 250 California city and county managers revealed that they considered relationship-related issues (versus technical issues) to be by far their biggest area of challenge in their work with elected officials.

- **Be open to feedback.** It can be quite problematic if you do not accurately understand how you are perceived by others—including by elected officials. Being open to, and even soliciting, feedback is an important strategy to better understand if how you intend to

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SIDEBAR

IF HAVING GOOD COUNCIL RELATIONS IS A HIGH PRIORITY, ACT ACCORDINGLY

Managers know that their job security, how they feel about their job, and their effectiveness in the job all directly relate to the quality of their relationship with their elected officials. Yet managers don't always give the time and effort the relationships need. These two tips might help turn that around. (Also see "Developing Mutual Trust and Confidence" in the previous chapter.)

- **Reach out proactively.** Chief administrators have to balance many demands and must prioritize where they put their time and focus. Reacting to council member requests is a necessary but not sufficient aspect of a solid working relationship. You must also simply "put in the time" to proactively develop and maintain an effective relationship.

  New and first-time managers generally recognize the critical need to develop these relationships early in their tenure. But sometimes, over time, managers drift into spending less time proactively reaching out to and communicating with council members. This happens for a variety of reasons, including the demands of other work or possibly simply finding other aspects of the work more pleasant and/or fulfilling. However, not keeping these relationships (and the time necessary to maintain them) a high priority can ultimately be damaging.

- **Reinforce the relationship.** Council members also often develop a sense of how important the manager perceives them to be by the amount of time and effort the manager takes in establishing and maintaining a relationship with them. Although the need for such reinforcement can vary greatly among elected officials, you should never underestimate it.

  The basics of relationship maintenance include ongoing communication about important issues and policy priorities, as well as quickly responding to council member questions and concerns. Reinforcement goes beyond those actions to *proactively* reaching out to gauge how council members are doing and how they are perceiving the work of the organization. You can assume that your council members did not run for office in order to feel unimportant or ignored; don't inadvertently communicate that message by failing to focus on your relationship with them.

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be perceived is how you are actually perceived. Obtaining regular performance evaluations from your governing board, while not always the most enjoyable experience for managers, is critical to increasing the odds of understanding how your performance is matching the expectations of your elected officials. In addition to other techniques to solicit feedback, techniques such as 360-degree evaluation instruments can be helpful in improving your understanding in this critical dimension of your performance. ICMA offers the ICMA Manager Evaluations Handbook as a guide for developing an evaluation tool that reflects a process mutually agreed upon by you and your elected body.

- **Develop a feedback plan.** Since the area of interpersonal and communication skills is one where there will always be room for growth and improvement, consider developing and periodically updating a plan for personal development. Develop a system of evaluation to provide feedback that will enable you to identify and assess your shortcomings. This will help you determine how you can grow further and identify resources to help you improve.

Knowing Your "Audiences" and Those of Your Council

Both the council and the manager have multiple and often diverse "audiences" that are important to their effectiveness. In most cases the audiences are the same, though the nature of the relationship can vary based on the differing roles of the manager versus the elected officials, as well as on the style each party brings to the relationships. Understanding who those audiences are and how to develop effective relationships with them is another key ingredient to a local government manager's success.

A primary, if not *the* primary, audience for the manager is the council. Establishing and maintaining an effective working relationship with the governing board occurs in the following important contexts:

- **Other working relationships.** You will not be successful, and will not maintain the governing board's support, if you are not able to establish and maintain an effective working relationship with a variety of other key constituent groups. Typical key audiences for the local government manager are
  - Governing board
  - Department heads
  - Community groups
  - Neighborhood associations
  - Employees
  - Employee organizations/unions
  - Newspapers/media
  - Business groups
  - Community nonprofit organizations

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- Other jurisdictions with which a manager's organization must collaborate.

- **Effective relationship strategies.** From the outset, a local government manager has to develop useful strategies to work effectively with diverse groups of constituents. One significant challenge is prioritizing your time between the various groups and individuals with whom you need to relate. Another challenge occurs when you must make a decision or recommendation that will please one set of constituents but will be viewed unfavorably by another. That, frankly, is inevitable.

  The key, however, is to maintain a reasonable relationship with groups or individuals even when you can't make decisions in the manner that they are advocating. You increase the odds of being able to maintain those relationships when

  - You have worked to establish and maintain a positive relationship at times when a major issue is not in play. Develop a reservoir of goodwill before a potentially divisive issue needs to be confronted.
  - The manner in which you communicate/explain your decisions is professional and thoughtful. Being able to demonstrate that you seriously considered the concerns/perspective of the constituent group, even if you came to a conclusion different than what they advocated, can sometimes ameliorate their reaction to your action/position.

- **Impact of other relationships.** You need to be mindful of the impact that your relationships with various constituent groups will have on your relationship with the governing board and its members. The governing board will usually also share most if not all of these key constituent groups. And in the case of governing board members, they may view their relationship with such groups as a critical factor in how successful they are in their political careers.

  Even in situations where you have a reasonably positive working relationship with the governing board and its members, a challenging relationship with one or more key constituent groups can cause the governing board relationship to suffer. Managers have been removed from their positions not primarily because they were unable to work effectively with the governing board itself, but because they were unable to establish a reasonably positive working relationship with key constituent groups of the governing board.

> ***Develop a reservoir of goodwill*** before a potentially divisive issue needs to be confronted.

Understanding the *What*, *How*, and *When* of Communicating

How and when you communicate with your policy makers is one of the most important components of your relationship with them. A lack of timely and sufficient communication, or a disconnect regarding the style of desired communication, can be both a symptom and cause of a problematic working relationship.

- **Gauge what and how often to communicate, knowing that council members can use the amount and type of communication as an**

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indication of their priority in your frame of reference. We often underestimate the degree to which council members look for subtle indications of how important the manager views their relationship. A perceived deficiency in communication or a disconnect regarding communication style can have a major impact on whether or not elected officials believe the manager values them, their working relationship, and their role in the organization.

How much time you are willing to devote to communicating with council members, the information you are willing to share, the timeliness of the communication, and the style in which the information is shared can all significantly impact the relationship.

- **Make sure the council always hears bad news from you first.** Nothing will damage the manager-board relationship more quickly than surprising council members regarding important information—particularly bad news. The worst "surprises" are when council members learn the information regarding significant and sensitive community issues from others (the press, community members, etc.). Additionally, if a council member needs this information in time to react to the public but you only provide it at the last minute, the effect can be similar.

  You never want your members to appear to the public as uninformed (or even out of touch) about what the organization is doing or about other important community issues. Bad news is difficult enough to deal with, but helping your council members by keeping them informed on a timely basis not only helps them adjust and appropriately respond to the news, but also avoids the impression that you are withholding information from them.

  A common reaction of managers is to wait to communicate bad news until more facts are gathered or until a solution to a problem is identified. While that can sometimes be an appropriate strategy in the short term, waiting too long can put council members in a very awkward spot, can damage their credibility with the media and the public, and can seriously, if not irreparably, damage your relationship with them.
- **Make sure the council is prepared to communicate to the public and media in advance of or during and immediately after a crisis.** Elected officials will often be under intense scrutiny during emergencies or crises. Keeping them well informed during such times is particularly critical. Whether or not elected officials are designated to be the face of the organization during critical situations, they always will be expected to know what's going on, and the public will look to them for accurate and up-to-date information. While the demands on the manager are likely to be intense under such circumstances, time must be taken to assure that elected officials are kept well informed.
- **Communicate in the manner that works for individual council members.** Individuals, and certainly elected officials, vary in regard to their preferred communication style. While it would be easier for the

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local government manager to use only one style of communication with every board member, the manager doesn't have that luxury.

The variations in communication preferences are many and stem from time constraints, personalities, and work styles. For some members of the council, significant "face time" and one-on-one meetings are important. For others, written communication with considerably less meeting time is preferred. Additionally, managers need to recognize variations in the amount of information desired—from broad issue overviews to detailed reports with lots of background information.

While it is possible to develop a consensus with the council in order to close the gaps on the extremes of these preferences, it makes no sense to communicate in exactly the same way to all elected officials when their communication preferences are quite different. If you don't have flexibility in this regard, you will inevitably leave one or more of your elected officials dissatisfied or feeling uninformed. Those council members can quickly become dissatisfied.

Your challenge is to determine how to make sure you communicate a "baseline" of important information so that no council members can legitimately say they were not equally informed.

> ***...it makes no sense to communicate in exactly the same way*** to all elected officials when their communication preferences are quite different.

- **Keep the council informed of major issues and important decisions outside its area of authority.** A council often cares about important issues beyond its direct authority. Keeping the council informed regarding key issues and decisions outside its area of direct authority can increase the council's confidence that you are taking care of these issues while also demonstrating that the council's involvement is not required.
- **Learn when and how to say *no*.** Often managers are required to say no to a variety of groups and individuals, including council members. That can be one of the most challenging positions for a local government manager, but it is inevitable. There are too many examples where a failure to say no has resulted in the manager becoming embroiled in ethical scandals, failing in professional obligations, and/or losing the faith and confidence of the remaining council members.

  However, often the key is not whether or not you say no, but how you say it. It's important to convey empathy to the person who has made the request. In addition, showing that you are willing to work with that individual (or group) to help identify other ways to address the goal can be very useful. Whenever possible, try to avoid making the issue "personal"—focus on the facts and your professional opinion.
- **Recognize that communicating with your elected officials doesn't "get in the way" of you getting your job done.** It is your job. Develop the mindset that communicating with your elected officials is an important component of your job, and not a distraction from your job. While you may prefer to spend your time on other tasks or there are times when it appears your time is not being well spent, remember that

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the time you spend with your elected officials is usually very valuable to them and to your relationship with them. Never forget that you are the link between the organization and the council. This is why effective communication—and devoting adequate attention to maintaining the relationship—is an integral part of your job.

Establishing the Manager-Staff and Council-Staff Relationships

The relationship between the manager and elected officials does not operate in a vacuum. It is affected not only by the relationship the manager has with his or her own varied constituencies but also by the council's varied constituencies and audiences. One very important group affecting the success of both the manager and the council is the organization's staff.

As manager you must be able to select, lead, and maintain a qualified and effective group of staff, especially at the department head and managerial level. Likewise, it is important for key staff members (those who are most visible to the elected officials and community) to be able to establish and maintain the confidence of not only the manager but also the elected officials.

Managers can often run into challenges when their elected officials perceive that the manager is not maintaining a high enough standard for key staff members (i.e., the manager is perceived to be "protecting staff") or when they don't sense that the manager has an effective relationship with key staff members whom the council regards highly.

Therefore the need for the manager to establish and maintain a positive relationship with key staff is often a critical component of the manager's relationship with the elected body, as is the need to establish and maintain the credibility of the staff with the elected officials. Use the following observations as friendly reminders:

- **Remember that a manager's performance is tied to organizational performance.** You should never forget that you will be evaluated on not just your personal knowledge, skills, and performance, but also on that of the organization as a whole. Your ability to select quality staff members and, when necessary, change the composition of the staff, is a key area on which you will be judged. Your performance cannot be separated from the performance of the organization. Managers can often be judged harshly when they are unsuccessful in selecting quality staff members who are able to establish confidence in their performance with the council.

- **Build the relationship with key staff.** The absence of an effective relationship between the manager and key staff could have a significant negative impact on organizational performance and also could erode the council's confidence in the manager's abilities. It follows, then, that you need to devote considerable effort to establishing and maintaining a positive and supportive relationship with key members of your staff.

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SIDEBAR

THE "END RUN" SITUATION

One of the most common and challenging issues managers can face in working with their elected officials is when one or more elected officials "end run" the manager in reaching out directly to staff. Regardless of variations in rules, regulations, and expectations regarding elected official contact with agency staff, it is a fundamental principal of the council-manager form of government that council members will not direct staff other than through the manager.

In some cases, all direct contact is discouraged. In other cases, asking questions is considered acceptable, particularly if directed at higher level employees such as department heads. Regardless of the specific protocols and expectations in your organization, the key is to start by creating as much clarity as possible regarding this topic. Without an early and clear discussion of the topic, you can expect that things will not go well.

Over the line. Unfortunately, you are likely to encounter circumstances at some point in your career when your elected officials will in fact "step over the line" and contact the staff either for answers to questions, to offer "suggestions" to the staff, or even to attempt to direct them to either do or not do something.

Easy adjustment. When this occurs, it's possible the elected officials simply didn't understand that they were not being consistent with expectations and protocols of the organization. In those instances resolution may be as simple as bringing this to the attention of the elected officials.

More difficult adjustment. However, in many cases you may encounter elected officials who don't want to "follow the rules." They may feel they can get what they want achieved more quickly/directly by reaching out to staff. They may also want to "demonstrate their authority" by doing so.

Resetting expectations. In those cases a more serious discussion with that elected official may be necessary. It will be important to point out why the reporting structure is set up the way it is (i.e., the reason for the form of government, why it is important, how it is not reasonable for employees to try to respond to direction from multiple sources, etc.). You can also point out how these actions can undermine your authority to effectively lead the organization and can actually result in a less effective response to their concerns. It is helpful to emphasize (and demonstrate) that the most effective way to get the information they need or action they request is through you.

Enlist support. You may also need to enlist the mayor or the council as a whole in cases where you are unable to have an impact on the conduct. They can help deliver the message about the expectations regarding elected official-staff contact.

Advise staff. It is also important to make expectations regarding council-staff contact clear to staff—including what to do if contacted by elected officials. Often it is helpful to give staff permission to say, "Sorry, that is a topic you need to take to the manager." While a difficult thing for a staff member to say to an elected official, if authorized to do so, it can make it a lot easier. Also, the staff needs to know that they should keep the manager informed of council contacts—and even let the elected official know that they will be letting the manager know.

ICMA members can access an excellent May 2004 Public Management magazine article on this topic, entitled "Six Reasons Why It's Best to Work Through the Manager," by Ken Hampian.

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> ***The selection of key staff members*** is likely to be one of the most important factors on which a manager will be judged.

- **Start early to develop the relationship between key staff and the council.** A high priority for managers is the development of their relationship with newly elected officials early in their tenure. An almost equally high priority is establishing early on the relationship between the council and department heads and/or managerial team. Key staff members should be an integral part of the orientation program for newly elected officials. (See the "New Council Member Orientation" chapter.) The sooner these new officials understand the professional credentials of these staff members and begin to appreciate them as individuals (and not just titles), the better. Not establishing the protocols of these relationships can produce uncomfortable and usually unproductive encounters; see "The 'End Run' Situation" sidebar.
- **Help establish staff credibility.** Look for opportunities for key staff to demonstrate their skills to elected officials. You could achieve this by having staff make presentations at council meetings, committee meetings, or other meetings with the public where elected officials are present. It is also important to bring to the attention of elected officials the accomplishments of staff, including professional recognitions. Such exposure to elected officials helps establish staff's credibility. Above all, assisting staff members in understanding and meeting the performance expectations of the elected board is critical to their success.
- **Assist elected officials and staff in understanding the legitimately different perspectives each can bring to their roles.** It is natural for elected officials to bring a "nontechnical/community" perspective to their roles, whereas staff, quite naturally, bring a more "technical/professional" perspective. This is an appropriate by-product of local governments being both service providers and democratic institutions.
- **In a sense, the manager must be the translator between these different points of view.** You must be able to serve as an effective connection between these parts of the organization, helping each understand, appreciate, and respect the perspective of the other. If this is not done effectively, the by-product of these naturally different perspectives can be a lack of trust and confidence.
- **Establish and enforce high performance expectations for staff.** For the manager to maintain credibility, he or she must be able to maintain high staff performance. If the work of staff is not consistently meeting council or community expectations, this becomes a serious problem for the manager. The selection of key staff members is likely to be one of the most important factors on which a manager will be judged.

  While sometimes personally uncomfortable, you must be willing to establish and enforce standards of performance. If you are perceived as overly protective of staff or unwilling to address perceived performance issues, this can become a critical issue between you and the council.

  Challenges often occur when the manager determines there are performance issues with a key staff member who is viewed favorably

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by one or more elected officials. In this circumstance, the manager needs to carefully assess how to proceed, including determining how to communicate to elected officials his or her assessment of that staff member's performance and providing evidence to serve as the basis for that assessment. This is often a critical step prior to taking action in regard to that staff member.

While managers do not control all the ingredients to achieve a positive and successful council-manager relationship, the manner in which managers undertake their roles and responsibilities can have a significant impact on the likelihood of achieving a high-performing organization.

Being Professional

The manager's ability to establish and maintain professionalism is critical to success and will serve as an important resource throughout her or his career. A well-informed understanding of the fundamental principles of the profession of local government management and the council-manager plan will always serve managers well. Bolster your professionalism with these actions:

- **Adhere to the ICMA Code of Ethics.** A fundamental guidepost for local government professionals is the ICMA Code of Ethics. The code informs managers' decisions regarding many issues associated with their work. A clear understanding of the code allows managers to do their jobs in a manner that is consistent with the accepted professional standards that have been developed and modified over the last 90 years.

  Due to the nature of a manager's work, including the responsibilities and authority he or she exercises, it is not uncommon for others, including council members, to ask managers to undertake their responsibilities in a manner inconsistent with their professional and personal values. The manager's knowledge of, and ability to refer to, the ICMA Code of Ethics and the principles of the council-manager plan will be helpful in responding to requests that are not consistent with these standards.

  Your familiarity with these topics allows you to explain to others why you cannot do something they may be requesting you to do. It is also less confrontational to refer to the requirements of the code or plan than to simply say you do not agree with the request.

  Educating the council and the community regarding the ICMA Code of Ethics can be a good way to establish realistic expectations. Indeed, introduction to the code is an essential component of any council/board orientation.

  One ICMA member has actually written op ed pieces in local newspapers in two of the communities she has served. She used these pieces to review and explain the ICMA Code of Ethics and her obligations relating to the code.

> The manager's knowledge of . . . the ICMA Code of Ethics . . . will be helpful in ***responding to requests that are not consistent with these standards.***

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Seek ongoing professional development. You demonstrate your commitment to the profession and the relevancy of your professional skills through constant professional development. You cannot assume that the skills and knowledge you have today are going to be adequate to address the challenges of the future. Your willingness to continue to grow and develop as a professional not only enhances your skills but also communicates an important message to elected officials and fellow staff members regarding your commitment to high-quality performance.

The ICMA Voluntary Credentialing Program is a focused and systematic way to promote ongoing learning and personal professional development.

- **Share your professional judgment, not your personal opinion.** An important way to maintain professional respect from others is to act in a way that always demonstrates that you are expressing professional versus personal opinions. You are not hired because of your personal opinions and preferences. You are hired to offer informed professional opinions. You can quickly lose credibility and the respect of others regarding your professional skills if it appears that your actions are primarily influenced by personal preference and not professional judgment.
- **Seek guidance from colleagues.** One of the most important resources for managers facing challenges or simply seeking advice is their professional colleagues. Many whom we encounter don't fully understand or appreciate our "world"—a profession with unique characteristics, responsibilities, and experiences. This can lead to managers feeling isolated and, at times, unable to share with others the issues and concerns they are facing.

  Your professional colleagues can be a tremendous resource when facing challenges or simply seeking career advice. They share a unique vantage point with you that can help them relate to what you are experiencing. In many cases, they may have already experienced circumstances similar to those you are facing. Because of this, they can offer what has worked or has not worked in their experience. At other times, a colleague can just lend a "friendly ear" to listen to your concerns without necessarily offering advice.

  Some areas have an established senior advisor program, which can be a tremendous resource. (On ICMA's website you'll find a description of the program and a roster of current senior advisors by state.) Senior advisors are experienced former managers who have likely either personally experienced (or know others who have experienced) similar challenges. It is often helpful simply to learn that others have encountered (and survived!) similar circumstances. If you need any more convincing, be sure to read Frank Benest's online "City Managers Need Coaches Too" column (Career Compass No. 45), which offers the reminder that everyone can benefit from a coach.

  It is important to create a network of colleagues (whether local, regional, in your state, or even in other states) to be able to consult when

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necessary. Even managers who work in rural areas without colleagues in close proximity can use organizations such as ICMA to develop a network of colleagues. Such relationships are enriching during good times and often critical during tough times.

KEY NOTES

- Keeping council members informed about bad news on a timely basis not only helps the council adjust and appropriately respond to the news, but also avoids the impression that you are withholding information.
- It makes no sense to communicate in exactly the same way to all elected officials when their communication preferences are quite different.
- Never forget that you are the link between the organization and the council, and that is why effective communication is an integral part of your job.
- The manager's knowledge of, and ability to refer to, the ICMA Code of Ethics and the principles of the council-manager plan are helpful in responding to requests that are not consistent with these standards.
- Develop a reservoir of goodwill *before* a potentially divisive issue needs to be confronted.
- Establishing and maintaining good relationships with key staff members is particularly important because failing to do so can erode the council's confidence in the manager's abilities.
- Being open to and soliciting feedback is an important way to better understand if how you intend to be perceived is how you are actually perceived.
- Your network of colleagues will serve you well, especially when you're looking for advice or are in need of a good listener.

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Chapter 3

GOVERNANCE

A comprehensive system of players, roles, and rules that propel good government

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> The governing body articulates ***on behalf of*** others the desired vision of the community.

In the context of local government and for the purposes of this publication, the term *governance* is used to describe the full spectrum of control of an organization, from the elected governing body through the appointed chief administrator and on to the operations staff and employees. In this systems approach, the organization's success depends on all participants in the process functioning well in their defined roles. This chapter articulates who the players are, what parts they play, and the procedures they can use to be most effective.

Because so much of a manager's job satisfaction and ultimate success hinges on a productive relationship with the governing body, this chapter describes the governing role and how the manager can help the governing body understand it and operate effectively within it. Obviously the chief administrator cannot do this job for the governing body, or even make the governing body do it, but a thorough understanding of the value the governing body adds to the governance process is critical.

It is also helpful to describe this in some detail so that you can recognize good governance on the part of elected officials when you see it, and help them achieve it when it is lacking.

The Governing Body

Understanding the Difference Between Owners and Customers

One of the hallmarks of our profession is that the elected governing body represents the collective community. The governing body articulates *on behalf of* others the desired vision of the community. Think of the governing body as similar to the board of directors of a corporation—in this case, a local government corporation. The governing body seeks to understand the will of the various individual owners and translate it into a collective sense of direction. This is generally referred to as the policy arena and is clearly the domain of the elected officials.

As the local government professional, the chief administrator can often help elected officials—especially new ones—understand their role because, unfortunately, they often do not. It is not unusual for individuals to run for local elected office without much—or any—experience governing. Consequently, as is discussed elsewhere in this book, the chief administrator's skill in providing this educational component to elected officials can be critical for long-term organizational and governance success.

Who are the owners? One of the governing body's first and most important tasks, which the manager or other professional can help facilitate, is discussing, deciding, and understanding who the community "owners" are, what they want, and of what they want, what they are willing to pay for. Property-owning residents is an easy first cut on the "Who are the owners?" question. But what about nonresident property owners? What about residents who are not property owners? What about corporate prop-

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erty owners? What about other institutions: churches, nonprofit organizations, service providers, school districts, universities, and so on?

Who are the customers? A subsequent question that helps clarify the nuances of ownership is about the customers of the organization. Customers are easy to spot in such areas as utilities, recreation and parks programs, and the like, where folks choose to sign up, pay a fee, and consume a product or use a service. But what about a casual visitor who simply enjoys a quiet moment in a park? The renter whose utilities are included in the monthly payment? That student at the local university who lives on campus? What about that nonresident involved involuntarily in the municipal court process?

The insight, of course, is that most people fall into one or the other and often both the owner and customer categories. That's why it's so important for the governing body to look at the underlying good it is trying to do, on behalf of which segment of the community, clearly separating the issue from the individual or party.

SIDEBAR

SHOWING YOUR COLORS

This discussion of owners, customers, and levels of service can get very involved, especially since the governing body members generally fall into both categories. One of the recent ICMA Program Excellence Award winning communities uses a "placard fan" approach to institutionalize this insight. During retreats or more informal work sessions, they print the various roles from which an individual governing body member might operate on colored card stock hand fans (one color per role) and ask members to hold up the appropriate role placard when they are speaking so that the other members and the staff can visualize them in that role and interpret their comments appropriately.

For example, the mayor is also a property owner, a customer, a school board member, and a volunteer in community organizations as well as the parent of children active in the school and in community programs. When discussing fee philosophy for parks programming, the mayor might hold up the mayor placard and talk about establishing fees that are competitive with neighboring and peer communities. Then later in the conversation, the mayor might hold up her parent placard and speak about the challenges associated with paying for multiple participants in city-sponsored programs.

The value of course is that while it is the same person speaking, the role—and consequently the governance component of the comment—is easily recognized and treated appropriately.

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The private sector is very clear about this difference in ownership and customership. Owning stock in a major fast food company does not entitle you to short circuit the line at the drive through. Even a significant ownership stake in a major amusement park company does not allow you to use the park outside of normal operating hours. An owner and a customer can be the same person, and very often are, and still be treated differently depending on the issue at hand.

In other words, before tackling items brought to it by the staff or citizens, the governing body should ask itself, "Is this an ownership or customership issue?" And since the governing body by definition is the steward of the community on behalf of the owners (however owners are defined), then the governing body has an obligation to focus on that ownership perspective.

This of course means that the administrator is responsible for providing customer service at the level the community is willing to pay for. Missing the mark in this arena is one reason why governing body members often insert themselves in operations—either out of a desire to "help" the staff or "fix" the process. When the governing body is clear about the level of customer service it expects—and is willing to pay for, then the administrator can implement the procedures and processes necessary to provide it.

SIDEBAR

TIMING IS EVERYTHING

Many communities start this good governance education early by conducting a council candidate orientation after the local filing deadline and ahead of any election. They use the time to underscore the value of the relationship between the governing body and the professional administrator, the role that each plays in the governance of the community, and how inquiries from the campaign trail can be handled. While only some of the candidates will be successful, these orientations are a great way to help educate interested individuals about the council-manager form of government.

Following the election, these communities conduct new council member orientations to further clarify the roles and responsibilities of the elected/appointed partners and the behaviors appropriate to each arena.

Administrators then fairly quickly use a retreat process to solidify relationships among the governing body members and to revisit any significant outcomes that the governing body is pursuing.

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Roles Distinguished by the What *and the* How

Best practice governing bodies are clear about their role—they know their job and are disciplined about staying in their appropriate arena. The members of the governing body work together to provide policy decisions that benefit the community as a whole and provide quality service to all. They alone can answer the *what* question and must also refrain from engaging in the *how* implementation. They ask themselves, "On behalf of the owners, what do we want, when do we want it, and how much are we willing to spend to get it?" With these parameters clearly laid out, governing bodies can then determine risk and assess organizational performance against their standard.

Many governing bodies choose to articulate their job in a manual or job description. Elsewhere in this e-book we discuss what types of behaviors and responsibilities such a manual might cover. Additionally, many local governments have charters or state laws that prescribe the range of responsibilities. From a governance perspective, it is sufficient to say that understanding the difference between articulating a desired outcome and directing how it is to be achieved (the latter being the role of professional staff) is most critical. It is a foundation of good governance.

Here again the chief administrator can greatly assist the governing body by providing education about what good governance entails. The administrator can also maintain and keep up-to-date any documents that are developed in the form of a council manual.

> ***...when the governing body articulates the desired future state,*** it makes it much easier to understand the work necessary to achieving it.

Setting Targets

With a thorough understanding and acceptance of owner values, the governing body can best assure the accomplishment of its desired state by setting targets. In fact, the clearer the target and the better delineated the bull's-eye, the greater likelihood staff will accomplish the desired outcome. Stephen Covey, of *The Seven Habits of Highly Effective People* fame, called this "beginning with the end in mind." As staff you recognize that when the governing body articulates the desired future state, it makes it much easier to understand the work necessary to achieving it.

Starting with values, vision, and mission. With the concentration clearly on the owners, the governing body can look to the future and describe that future in terms as if it had already occurred. This tried-and-true method of articulating values, vision, and mission is a great place to start. What the community values is a critical question. While the values of safety, health, and attractiveness might be somewhat universal, many others are not. Do the owners desire ultra-low density with not much public infrastructure, or would they rather see moderate density with significant public infrastructure? Is homogeneity prized over mixed use? Neighborhood parks or regional parks? Preservation of natural beauty or repurposing? Do aesthetic considerations outweigh being development friendly? Rapid growth, slow growth, no growth?

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> It is in this community visioning process that ***individual community identities begin*** to become most clear.

Agreeing on the community's values. This rigorous focus on the future of the community is the true and significant purview of the governing body. With the community's values discussed and agreed upon, the conversation on vision becomes more thoughtful, and any disagreements or discussions can be evaluated against these values. Again, what do the owners want, and what are they willing to pay for? It is in this community visioning process that individual community identities begin to become most clear.

"Our city is a safe, clean, affordable city. We are a family-friendly community of strong moral character, solid values, and a caring spirit. We strive to provide the right balance of cosmopolitan and rural areas by offering a well-planned and growing community that focuses on a wide variety of business, educational, cultural, entertainment, and recreational opportunities. We are a diverse, friendly city that encourages individuality and excellence."

This vision is clearly different than, "Our city combines world-class events, science and technology, arts and culture, and history and architecture with great neighborhoods and opportunities for all."

And both are different from, "Our city is an oasis of natural beauty that maintains open spaces in balance with distinctive development, trails, and quality-of-life amenities amid an ever-expanding urban landscape."

Again, note that these statements all occur in the present tense, even if this desired state has not yet been achieved, and leave sufficient room for

SIDEBAR

ARTICULATING OVERARCHING VALUES

When the governing body discusses values, vision, and mission, it is important to note that these are not operational values, or even the group values of the governing body. These are community values best understood by input from the community—formally or informally. Some councils use formal listening sessions on certain topics to gain insight from attendees. Others use surveys, coffees with the mayor, council district constituent meetings, or neighborhood or home owner association meetings to gather this input. Particularly in very diverse communities, this owner input piece can be challenging. Still, irrespective of the methodology, the intent is to hear from community members about what they value so that the governing body can coalesce the input into overarching values.

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the professional staff to make reasonable interpretations of their meanings and, consequently, the mechanisms to achieve them. Management of a city or county becomes a unique endeavor once the vision is articulated, and so the implementation must reflect the values and vision of the council.

Identifying Risks

As in all things, there is risk associated with local government. Some of these risks are inherent in a 24-hour-a-day, 7-days-a-week operation with many separate lines of business. Each time a police officer makes a traffic stop, each time a sanitary waste worker descends into a manhole, each time an electric lineman climbs a pole, each time a parks worker starts a gang mower, there is the potential for bad things to happen. These are obvious job-related risks.

Other risks include portfolio protection, credit risk protection, human resource risk, customer protection risk, confidential information risk, economic risk, business continuity risk—the list seemingly goes on and on.

It is the responsibility of the governing body to be thoughtful about the risks it faces and, more importantly, to decide how to mitigate those appropriately through delegation to the chief administrative officer. The governing body does not deal with the organization risk directly; it simply defines its collective degree-of-risk comfort zone and delineates the limits of the risk it is prepared to take. As the professional staff, the chief administrator can determine recommended best practice, solicit local comparable practice, and even (if asked) provide recommendations to the governing body as they debate these significant constraints on executive latitude.

For example, policing is inherently dangerous, with inexperienced officers certainly more likely to make mistakes than seasoned ones. The council's comfort zone in this arena might simply be that all officers be adequately trained and supervised, with the directive to the chief administrative officer not to allow undertrained, unsupervised officers. Within this parameter the administrator might interpret this to mean only seasoned officers can be hired, or conversely, that inexperienced officers can be hired and then must have a prescribed number of hours with a field training officer before they can operate independently.

Financial risk is another huge arena where the council should define its comfort zone. Is the council comfortable with self-insuring some risks, or is commercially available insurance more acceptable? If commercial, at what level—100% replacement, 80%, and so on. Is this different for rolling stock than real estate? What about employee health insurance?

How about hiring practices? Is the governing body comfortable with simply adhering to appropriate law, or is a higher standard desirable for its particular community? What about human resource practices? Customer treatment? Other risks?

Taken in conjunction with owner input about the articulated quality of life in the community, the governing body's decisions need to reflect a level of service and level of protection that align with the community's

> "The governing body's decisions [about risk tolerance] ***need to reflect a level of service and level of protection*** that align with the community's vision."

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SIDEBAR

STRATEGIES TO HELP BOARD MEMBERS SUPPORT SMART RISKS

So, how can the chief executive help board or council members take responsible risks? Our practice as long-time city managers in various communities, plus now as consultants promoting innovation and good governance, suggests that boards must help create a safe environment for responsible risk taking. There is no perfect way, but here are some suggestions on how you can support boards in their risk tolerance:

1. **Don't allow people to personally criticize staff for well-intentioned efforts.** This is critical if your board is serious about promoting innovation. Residents can criticize ideas or policies but not the people involved. As a chief executive, you can work with your council to develop and adopt a list of protocols to promote decorum and minimize staff bashing at public meetings. As part of a new board member orientation or an annual board training session, you can discuss the rules of decorum. Finally, if the board chair fails to encourage board members or the public to adhere to these standards, you can ask for a break and remind everyone about civil discourse and a need to focus on ideas, not people.
2. **Call everything a "pilot" (even if it really isn't!).** Why? Residents will more likely expect some mistakes or failures if it is a trial from which the local government will learn what works and what does not.
3. **Do a risk assessment in public.** Discuss in public that innovation does not occur without some risks and inevitable errors. Provide a risk assessment as part of an innovative proposal and discuss what is a responsible risk versus what may be a gamble or reckless risk. As part of the risk assessment, thoughtfully balance potential downsides and upsides.
4. **Tie the innovative proposal to the larger agenda.** It is easier to promote a risk if it can be linked to the board's already approved priorities or strategic plan, or if it can be discussed as an extension of another public or private investment already underway.
5. **Seed innovation by creating a small risk fund.** Propose to the board that it create a small pool of money that groups of employees and perhaps community partners can compete to spend on creative ideas. Ensure that the competition process is fair and that reports are provided to the board on what is learned for future innovation. Identify wherever possible the return on investment over time. The net gain (e.g., cost savings, productivity improvements, and crime or traffic reduction) will offset the losses from other projects that do not pan out.
6. **Engage in proactive media communications.** While there are never any guarantees about fairness when dealing with local media, it is always a good idea to proactively meet with media representatives so that they understand the rationale for the innovative approach, what is being proposed and what is not, and the risk assessment that is being conducted.
7. **Take action before every question or concern has been addressed.** The great organizations in the private and public sectors have a "ready, fire, aim" orientation. Suggest to the board that staff wants to get things "roughly right" and explain that any creative approach will need fine tuning as efforts unfold. This may prevent a board from sending an innovative proposal back for more staff work countless times until the idea dies or staff just gives up.

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8. **Partner with a nongovernmental group and spread the risk.** Collaborating with a nongovernmental partner can generate more and sometimes better ideas on how to address the challenge. Given the "trust deficit" experienced by many local governments, the partner can also take the lead and "front" a particular innovation. This approach also spreads the risk and some of the costs to more groups.
9. **Take an incremental approach to risk and innovation.** If the local government takes a few incremental steps in starting a project, it is easier to back off a risky project if things go terribly wrong or if the city gets hit with significant opposition. Typically, such initial steps do not require a heavy financial investment at the beginning. In other words, it is "reversible." Conversely, if the initial efforts create positive results, the local government can slowly build momentum and public support for the endeavor.
10. **Be transparent about all results, especially about any mistakes, yet encourage the board members to demonstrate reasonable restraint in their criticism.** Ensure that the staff disclose any shortcomings or failures and what is being done to correct the situation. Encourage the board members to express any concern about the lack of progress or any failure to achieve what was intended and make any helpful suggestions without personal criticism.
11. **Debrief the experience with the board and community.** At key points along the way as well as at the end of an experiment, help the board and staff in public session address the following questions:
    a. Given our goals, what has gone well?
    b. What has not gone so well?
    c. How did we respond to inevitable problems?
    d. What did we learn for the future?
12. **Celebrate "fabulous flops."** Of course most of us are good at scheduling time on a board agenda to recognize a successful project and the staff involved. However, it is even more powerful to celebrate at a public meeting an audacious effort that falls flat. Such "fabulous flop" awards encourage staff and community partners to experiment even if they fail.

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vision. These are clearly governing body decisions, but as in most of the governance arenas, a strong partnership with the chief administrator is hugely valuable.

Note that while many of these decisions seem pretty clear and are often taken for granted, it is important to have these conversations in advance of any pressing need. Discovering whether buildings are insured to replacement value, original value, or depreciated value *after* a disaster is often problematic. Any of these situations may be quite viable and acceptable, but it is important that everyone understand what they are, to avoid surprises and pointed fingers. The sidebar "Strategies to Help Board Members Support Smart Risks" provides tips on creating an environment that enables councils to take responsible risks.

> The governing body holds the CAO accountable for ***achieving the targets and staying within the risk parameters***.

Delegating the Work

Once the governing body has agreed on the risks it faces, it can then effectively delegate the achievement of the targets within the appropriate parameters. This is truly where a professional credentialed CAO can have the biggest impact. It is his or her job to understand, interpret, and articulate what the governing body has asked for, translating it into organizational performance activities that stay within the established risk boundaries. A well-managed local government demonstrates efficient, effective operations focused on outcome achievement appropriately delegated throughout the organization.

Again, the value of the council-manager form of government is most clearly on display in this handoff from desired outcomes to the implementation of activities to accomplish them. The governing body holds the CAO accountable for achieving the targets and staying within the risk parameters. The governing body does not have to "help" the CAO accomplish the outcomes; indeed such help is generally a hindrance not a help in implementation. This is not to say the governing body cannot offer advice and counsel or serve as a sounding board for suggested activities. After all, they in many cases have a great sense of how constituents and community members might react to any given activity, and the CAO would be foolish to not factor this wisdom into the decision-making process. It is important, though, for the CAO to let the governing body members know in advance that, while seeking their feedback, it is still an administrative decision on how to proceed.

When governing bodies have the discipline to maintain this separation, it allows them to hold the manager fully accountable and removes the "Well, I was just following your suggestion" excuse when there are challenges.

Assessing Performance

The governing body is also the only group that can appropriately judge progress toward its desired targets with operations that stay within the

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defined risk parameters. It must assess whether the CAO appropriately understood what was asked for and designed an organizational response that is effective and appropriate given what was said about risk.

For example, a commonly articulated outcome is that the community be "safe." Many governing bodies go further to articulate what safe means to them. They might do this in terms of performance against a standard such as, "The community enjoys a part one crime rate (as defined by the Uniform Crime Reporting Program) that is in the lower quartile for communities of our size."

With this objective in mind, the CAO can implement the method and scale of policing that is appropriate and affordable. And he or she can assess the myriad other factors—such as lighting, neighborhoods, infrastructure, and communication—that affect and impact safety and that are all in play in the achievement of the desired outcome.

Because the chief administrator is tasked with a result, the governing body can refrain from establishing a committee, a subcommittee, or a task force that inserts itself into the operational process. Establishing predetermined times for the governing body to examine progress toward the outcome and compliance with the risk parameters is a step that helps the governing body maintain its focus on policy.

SIDEBAR

CLARIFYING CONFLICTING DIRECTIVES

Many community charters clearly delineate that the chief responsibility of the governing body is to determine policy and to hire the CAO. State law then prescribes the ministerial acts of the governing body, which sometimes include approval of all expenditures, ratifying contracts, and approving such items as plats or zoning changes. This often results in lots of confusion. If the governing body has to "ratify" a contract, do they need to be involved in setting the terms? If they have to "approve" all expenditures, do they have to see those expenditures prior to funds changing hands?

Most communities adopt procedures that clarify these conflicting directives. For example a Texas city whose council recently was awarded the "City Council of the Year" designation separates its agenda into Statutory, Consent, Regulatory, and Governing categories, with definitions of each making it clear when the governing body is merely approving an action that was already taken in accordance with previous direction versus when it is having significant policy conversation about future direction.

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Practicing Discipline

While good governance—that is, each element of the organization-wide system knowing its role and how to execute the role—is not so hard to achieve, maintaining good governance requires dedication and discipline. The temptation on the part of the governing body to suggest solutions and strategies is constant. In fact, pressure from the community and the positive feedback for getting involved in operations often make it especially enticing. It is common for those in elected office to want to help, to serve others, and to problem solve, and these desires often lead to forays out of the policy and outcome arenas into the procedures component of the organization. Of course, as soon as the governing body suggests or even approves a particular methodology of achieving one of their outcomes, they have absolved the CAO of responsibility for it. After all, if the governing body tells the CAO how to do something, the governing body owns the results—good, bad, or in between.

Reporting Back

Since the authority to govern begins with the owners, and because it is their resources that are used for the collective benefit, it is incumbent on the governing body to inform the owners of what the organization has done on their behalf and seek feedback. This "full-circle linkage" is ultimately the beginning of a new cycle of understanding what the community wants and providing direction.

Many cities do this through a year-end report—similar to a corporate annual report—or through a series of community meetings, or even a state-of-the-city address with feedback sessions.

The Chief Administrator

Key Role

Much like any CEO, the chief administrator is specifically charged with fulfilling the governing body's vision in an effective and efficient fashion. Considered an implementer rather than an initiator of policy, the chief administrator's role is to interpret what she or he has heard from the governing body into actionable items for the staff to accomplish. Since the governing body is acting in good faith, it is incumbent on the chief administrator to ensure that the organization is as well.

The governing body provided the targets as part of its efforts. Next the chief administrator has to clearly understand and translate the targets into actions for the organization to undertake within the resources available. Sometimes this means interpreting what the governing body meant by what it said. This interpretation must be reasonable within the confines of the resources, and the action steps to achieve them should be clearly stated, tied to budgets, and with progress measured.

We discuss in some detail in the Overview chapter of this e-book the components of the relationship between the chief administrator and the

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governing body, so for the purposes of good governance, suffice it to say that a strong elected/appointed partnership is critical for successful implementation of articulated goals or targets. Communication is key.

The Implementation Process

Ideally each component of the organizational implementation can be directly traced to the appropriate council outcome. Think of these implementing components as strategies for accomplishment, which in the aggregate result in a strategic plan, or what some communities call a "strategy map." For the sake of transparency, each strategy can have accompanying action items or tactics necessary to support or achieve the desired result, with the responsible staff person(s) identified, all of which is linked directly to the strategy map. Additionally, the budget document can be tied to the strategies with monies very clearly associated with the relevant council outcome. Efforts are measured and accomplishments reported regularly. In short, both elected officials and management are aligned in such a way as to provide the best possible results for the community.

Both parties recognize and appreciate the special value of good governance when the CAO's management of the organization aligns well with the governing body's stipulated organization outcomes.

> "Both parties recognize and appreciate the special value of good governance when the CAO's management of the organization ***aligns well with the governing body's stipulated organization outcomes.***"

Other Players

While we are dealing largely with the relationship between the CAO and the governing body, the CAO of course must rely on the members of her/his team to implement these strategies. Depending on the size of the organization, this can involve deputies or assistants through key directors and/or department heads. The CAO needs to be sure each member of the team understands the outcome, the strategy, the resources, and the key performance indicators, and then must hold each member accountable for successful implementation.

These accountability methodologies can vary significantly from community to community, but most have the commonalities of agreed outcomes, agreed time frames with check-ins, agreed data capturing, and appropriate report outs. Many CAOs use a staff leadership retreat following the governing body retreat to provide clarity about direction and get leadership team buy-in. The process here is not as important as ensuring that the organization knows that each member has a role to play in implementing council outcomes and will be held appropriately accountable for results.

These critical individuals must in turn do the same for their individual teams so that at the end of the day, each and every employee can know that their contribution to the success of the organization is real and appreciated.

Good governance requires that all parties in the municipal organization understand their unique roles. It is the governing body's responsibility to focus on its unique connection with the "owners" and convert owner desires into appropriate community and organizational outcomes. And it

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is the chief administrator's responsibility to translate those outcomes into organizational activities that accomplish the outcomes.

Good governance occurs when these separate functions are accomplished with full respect for everyone involved in the process. This core principle of good governance, in combination with the principles articulated in the Overview and Working Relationships chapters, constitutes the basis of the following tip sheet for creating effective relationships with your elected officials:

- Understand how elected officials define success in their roles.
- Make yourself available to talk to/meet at their discretion.
- Be a careful listener to both what is said and what is meant.
- Always give the impression that elected officials and their concerns are a priority to you and the organization.
- Make sure that the follow-up to the council's and its constituent's issues is timely and responsive.
- Never allow disagreements to become personal.
- Always show due respect for the roles elected officials play.
- Be patient and avoid demonstrating frustration.
- Demonstrate emotional maturity.
- Always be truthful and accurate—never "shade" or "spin."

KEY NOTES

- Good governance happens when the players (the governing body, the chief administrative officer, and staff) truly understand and respect each other's roles in the process.
- The governing body by definition is the steward of the community on behalf of the owners (however owners are defined) and has an obligation to focus on that ownership perspective.
- It's never too early to offer good governance education; a council candidate orientation prior to any election makes sense in many situations.
- A rigorous focus on the future of the community is the true and significant purview of the governing body.
- It is in the community visioning process that individual community identities begin to become most clear.
- The governing body coalesces community input into overarching values and articulates the desired outcome(s).

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- The CAO directs how this vision is to be achieved and implemented.
- The governing body defines its collective risk comfort zone—a level of service and level of protection that align with the community's values. The CAO uses these parameters in interpreting how to achieve the desired outcomes without crossing boundary lines.
- Establishing predetermined times for the governing body to examine progress toward the outcome and compliance with the risk parameters is a step that helps the governing body maintain its focus on policy. Just as real estate is all about location, location, location, good governance is all about communication, communication, communication—be it with the community, the governing body, or staff.

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Chapter 4

NEW COUNCIL MEMBER ORIENTATION

Positive relationships start here

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Early orientation for new members of the council is both a responsibility and an opportunity for local government managers. A well-organized and informative orientation program must help council members clear the hurdles they encounter while adjusting to their new roles and responsibilities. At the same time, an orientation helps new council members establish effective working relationships with peers on the governing board and with staff. And not least of all, a solid orientation program ensures a good first impression for newly elected council members.

It's easy to undervalue the effectiveness of new council member orientation: Managers and staff may not fully appreciate how difficult it is for most individuals to adjust to the roles and responsibilities of a local elected official. With the rise of social media and other forms of electronic communication, council candidates and newly elected council members are more frequently exposed to—you might even say bombarded by—more information from more sources. While some of this information is accurate, much may not be.

An Investment with a Solid Return

Your thoughtful and comprehensive outreach to candidates (see "How to Plan Your Orientation Program" later in this chapter) and newly elected members increases the likelihood that they will start their careers in local government with a foundation of accurate information. Although an effective program requires considerable time to plan and execute, the effort will result in a rewarding orientation for all involved.

Most newly elected council members have some sense of the local government administration, staff responsibilities, and the organization as a whole, and these impressions will be either reinforced or modified by their experiences during their first few weeks and months on the job. Design your orientation program to play a significant role in forming those impressions. No one approach works best. The orientation should reflect the circumstances of the community, the needs of the new council members, and the manager's and organization's style.

While the program is unique to the people and organizations at hand, it also consists of fundamental components and practices that seem to work well in most situations. This chapter starts by examining more completely the reasons for and benefits of conducting an orientation program and then takes a look at these common elements of successful orientation programs:

- Structure of effective orientation programs
- Components of effective orientation programs
- Topics to cover during orientation
- Common types of orientation programs
- How to plan your orientation program
- Effective orientation practices.

Note: This chapter is adapted from "New Council Member Orientation: Developing a Positive Relationship," by Kevin Duggan and Nadine Levin, *InFocus,* Volume 46, Number 2, 2014. ©ICMA.

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SIDEBAR

STARTING EARLY: ORIENTATIONS BEFORE AND AFTER THE ELECTION

Mountain View, California

The goal of Mountain View's candidate orientation program is to have candidates who are better informed about city operations and issues, with the hope of having less misinformation during the campaign. The orientation can also have the benefit of alerting candidates to the complexity of the issues they will confront, with the potential that candidates will be less likely to take premature positions without adequate information during the heat of a campaign.

A candidate orientation also provides a forum to cover state or local regulations related to election campaigns. Better informed candidates are likely to be more responsible campaigners and eventually better council members. Once the voters make their decision, Mountain View implements a newly elected council member orientation.

Source: City of Mountain View, California, Administrative Procedures Manual.

Lake Forest, Illinois

Term limits and the election cycle necessitate that Lake Forest annually conduct new aldermen orientations. From Lake Forest's experience, it is best to start the process as early as possible. Local government managers in Lake Forest start providing information to candidates as soon as their names have been certified for the ballot.

All candidates receive city council and board and commission informational packets (except for confidential information). Examples of other documents provided are budgets, zoning codes, and strategic plans. After the election, Lake Forest staff conduct a one- to two-day orientation tailored to the needs and interests of the individual elected official. Staff describe their approach as "structured, but informal" and emphasize "one-on-one" meetings with the city manager, mayor, and department heads.

Source: City of Lake Forest, Illinois, city manager's office.

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Reasons for Conducting an Orientation

As highlighted here, the reasons for taking the time to develop and implement an orientation program for newly elected council members are compelling.

> ***Early in their tenure*** is when new council members are likely to be ***most in need of staff's support.***

- **Becoming an effective council member is hard work.** Many individuals elected to local government office have had little or no direct experience either with the organization they have been elected to lead or with local government in general. Additionally, new council members have little opportunity to grow into the job. Immediately upon taking office, they are required to exercise the full authority of the office—no internship or apprenticeship here!

  In most communities, elected officials have to become acquainted quickly with a wide variety of topics to which they have had little or no exposure. Likewise, citizens almost immediately expect them to be experts on topics ranging from law enforcement to library collection, information technology, and social media policies.

  Although it will be appropriate and relatively easy for council members to refer inquiries on many of these topics to staff, the public that elected them will expect them to know at least some basics about all these topics.

- **Important decisions often will not wait.** It is rare for cities to have the luxury of deferring important decisions until newly elected council members are fully acclimated to their new roles and responsibilities. Issues often have their own critical path and may need to be addressed regardless of the tenure of council members.

  An effective council member orientation program is not a guarantee that new council members will be able to rise to the occasion of tough and important decisions early in their tenure, but it certainly increases their chances.

- **Staff can demonstrate the importance of the transition.** Early in their tenure is when new council members are likely to be most in need of staff's support. An informative orientation program demonstrates that you and your staff appreciate the importance of a council member's transition to a public role and are committed to assisting and supporting council members in their new responsibilities.

- **The manager can learn about new council members.** Too often, orientation may be viewed as a unilateral benefit wherein the new council member is the sole beneficiary, learning about local government issues and operations. Yet an orientation also presents a valuable opportunity for the city or county manager and senior staff to learn about a new member's interests, knowledge of local government and the issues, and his or her experiences.

- **The manager can jump-start relationships with council members.** It has been demonstrated in more than one poll of city managers that the

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relationship between the council, the manager, and staff is one of the most important factors in determining the manager's job satisfaction. An effective orientation program can create a good first impression by modeling the type of open and informative communication with council members to which staff are committed.

Orientation is also an excellent time to encourage staff (not only the local government manager and the executive staff) and council members to get to know each other outside the spotlight and formalities of a council meeting.

- **Council members take on new legal responsibilities.** After their election, new council members have legal responsibilities much different from those of private citizens. They have financial disclosure obligations, and they will certainly (and suddenly) discover pitfalls to avoid, including conflicts of interest (see "Ethics and the Elected Official" sidebar). The sooner they are aware of their new obligations and the full implications of their new status, the less likely they are to run into problems.
- Council members may be surprised about the public nature of community input engagement and group decision making. Newly elected council members may have little or no experience in considering public comments and group decision-making dynamics. It is even less likely that they will have had experience doing so in the very public atmosphere of the council meeting. The sooner they gain an understanding of these dynamics and learn how to function best in this environment, the more likely it is that they will be effective in their new role.
- Council member issues and priorities can be identified early. A council election campaign will often provide plenty of clues about the priorities of the newly elected members, but an orientation program offers an opportunity to confirm and clarify those priorities. It can often be interesting to learn what was and was not said (or, possibly, what was and was not meant) during the heat of the campaign. The orientation process can provide helpful information about the priorities of new council members that might not be immediately apparent through formal council meetings.

An Opportunity Missed?

Conducting an orientation for new council members is routine in many jurisdictions, for the many reasons outlined here. However, two mistakes are also common:

- Going through the motions. It is tempting to conduct a rudimentary, quickly thrown-together program in order to minimize time and effort. In addition to missing the opportunity to realize the many benefits of an effective orientation, a poorly prepared orientation can create a negative first impression.

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- Delaying the orientation. Getting around to an orientation only when time permits greatly reduces the value of the orientation when it is eventually conducted.
- Much of the value of an orientation can be lost if it is not conducted quickly after an election because
- Early in their terms, new council members are not yet in the midst of council work and deliberations, and they will still have time to take a global view.
- Orientation introduces new council members to resources and vocabulary that they will need early in their tenure.
- New council members can meet department personnel and begin building good working relationships.

SIDEBAR

ETHICS AND THE ELECTED OFFICIAL

One of the most important topics to review with newly elected officials relates to the area of ethics. No area creates more problems for newly elected officials than making errors relating to ethical/legal conduct. Newly elected officials are often surprised by how much expectations regarding their conduct change once they take office.

First, elected officials need to be informed of any legal requirements to which they are now subject. Often the agency's legal counsel takes the lead in this regard. The legal requirements could be state laws/regulations, local charters, municipal codes, and the like. Typical topics include conflict of interest, "sunshine" laws, and election regulations.

Second, newly elected officials should know that they are now subject to expectations beyond legal requirements. Conduct that might be viewed as reasonable for a private citizen or a private business person may no longer be appropriate for a public official. Elected leaders are now subject to the expectations of voters, the press, community groups, business associations, and others. An example of the private-public behavior distinction concerns doing a "favor" for a friend or supporter. In the context of a private business transaction, this may be quite appropriate, but may no longer be in the context of public business. (Also see a discussion of the ICMA Code of Ethics in Chapter 2.)

A good understanding by those new to office of the laws, regulations, and expectations that now apply to them is critical to keeping them and your organization out of the legal/ethical bull's-eye.

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Structure of Effective Orientation Programs

Many factors—including the resources and organizational complexity of the individual local government—cause orientation programs to vary. Despite individual variations, consideration of the following questions and alternatives will help you develop a program that best fits the needs of individual council members and the local government organization. The best answer to the questions posed here is often "it all depends," because each local government is different, and the individual circumstances in each community will greatly influence what approach is best.

Questions About Who, What, *and* When

Among the questions that arise in deciding how to structure an orientation program to the unique situation of each jurisdiction are these:

- **Should the chief elected official and continuing council members be included in the orientation?**

  Some agencies find it of value to include the mayor/chief elected official [hereafter referred to simply as the mayor] or even continuing members of the city council in the orientation (or at least offer them the opportunity to sit in on all or a portion of the orientation). The value and appropriateness of this is very dependent on the local circumstances. Consider, for example, the role of the mayor in the particular organization, the personality/style of the official, the relationship between the newly elected member(s) and the mayor, and the relationship between the manager and the mayor.

  In some instances, public agencies involve outgoing elected officials in some portion of the orientation to offer the perspective of those who have already served in the role. Again, the appropriateness of such an approach is very dependent on the community and its circumstances.

- **Should the orientation be formal or informal?**

  Orientation programs can be as informal as convening one or more meetings with the local government manager supplemented with written material. More formal orientations can include the addition of presentations and tours of facilities involving various staff members, with materials specifically created for that purpose. (Also see "Common Types of Orientation Programs" later in this chapter.)

  Formal presentations require more staff time than informal orientations because more individuals are involved, but they take up approximately the same amount of time for the manager. The success of an orientation does not necessarily depend on whether it is formal or informal but rather on the quality of the presentations and the time provided for exchange and dialogue.

  To whatever degree organizational resources allow, the more comprehensive the orientation, the better. The more information that can be provided within reason, the better. The more key staff new

> "To whatever degree organizational resources allow, ***the more comprehensive the orientation, the better.***"

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council members can meet and get to know, the better. However, formats may vary significantly.

Formal meetings are a well-organized or prepared format during which information is provided and new council members have an opportunity to ask questions and engage in meaningful dialogue with staff.

- **If more than one new council member is coming on board, should there be a joint orientation or separate orientations for each new member?**

  If an informal format is used, it may be best for the local government manager and any other staff involved to meet with no more than two new council members at a time. Small briefings can be less formal and more tailored to each person's needs, and you and your staff can encourage more dialogue between each council member and staff.

  In deciding whether to provide group or individual orientation, it is a good idea to talk with each new council member about personal

SIDEBAR

DESIGNING ORIENTATIONS TO MEET THE NEEDS OF INDIVIDUAL COUNCIL MEMBERS

Peoria, Arizona

Local government managers in Peoria, Arizona, believe it's best to tailor their orientation program to the interests and needs of individual council members. Peoria provides a base level of information to all newly elected council members, then also varies the process (including tours of city facilities) to match the interests of individual council members. Among the baseline topics covered in the *City Council Reference Manual* are

- An overview of the city
- Laws, regulations, and basic parliamentary procedures
- Principles of team work and cooperation
- City council meeting procedures
- Requesting financial and staff resources.

This core information is supplemented by briefings and tours based on the interests and preferences of the individual council member. Council members are also encouraged to attend training offered by the League of Arizona Cities on topics such as working with the city manager and the council member's role in budgeting.

Source: City of Peoria, Arizona, City Council Reference Manual.

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preferences for orientation—with the manager and staff alone or with other new council members.

- **Should the orientation be immediate or somewhat later?**

  As manager you must decide whether to conduct the orientations immediately after the election; shortly before the new members take office; or somewhat after they take office and, if this is the choice, how long afterward.

  The best answer, however, is "the sooner, the better"! The choice of time frame will depend on the schedules and availabilities of the newly elected individuals, but the sooner they get the information necessary to do their jobs, the better. Regardless of when their terms actually begin, they will see themselves and their constituents will view them as council members immediately after they are elected.

  The sooner you are aware of new council members' interests, priorities, and possible misunderstandings regarding issues (not an unusual consequence from an election campaign), the better. If possible, try to complete at least one phase of the orientation (e.g., the meeting with the local government manager and department staff) before the new council members assume office. Tours of facilities can be scheduled after their terms begin.

> "... try to complete at least one phase of the orientation ... ***before the new council members assume office.***"

Components of Effective Orientation Programs

While each orientation program should be designed to meet local needs and circumstances within the constraints of local resources, the following components are common to most orientations:

- **Meetings with the local government manager and other council appointees**

  One meeting or a series of meetings with the local government manager is absolutely critical to a positive transition. This relationship needs to start on as positive a note as possible by using clear and timely communication. If your community has other council appointees (e.g., clerk, attorney, and auditor) whom new council members should know, then include early meetings with these individuals in the process.

- **Orientation notebook**

  A notebook (in print or digital form) of important orientation materials is a key component of the orientation program. Because the volume of information presented to a new council member is challenging to absorb, a comprehensive set of core documents is critical as a resource and reference.

  The notebook is an effective way to avoid overwhelming newly elected council members with too much information. Also, it can be expanded as the orientation proceeds and updated after the orientation is completed. An increasing number of jurisdictions are providing agenda materials to board members on mobile devices such as tablets; orientation materials can be provided this way as well. [See "Orientation

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Notebook: What to Include" sidebar for examples of what you might include in an orientation handbook for newly elected council members.]

- **Departmental presentations**

  Presentations by individual departments can provide additional insight into the daily operations of your local government. A group of departments can make their presentations during a combined meeting if time and resources demand it, but individual meetings with each department increase the opportunity for in-depth discussion and dialogue.

- **Organizational/departmental videos**

  With the ease of creating and disseminating videos on a variety of platforms, consider to what degree videos can be useful for your orientation program. If your staff have developed a video or digital production about the local government and its services for new employee orientation or other purposes, you may want to show it during the new council member orientation or provide it for future viewing. Additionally, resources are available through ICMA, including its Life, Well Run

SIDEBAR

ORIENTATION NOTEBOOK: WHAT TO INCLUDE

Documents you might find a tad dry will probably actually be enlightening to a new council member not yet familiar with them. Here are a variety of items you could include:

- City charter or similar enabling document
- Budget
- General community plan
- Strategic plan organizational goals
- List of key officials including advisory commissioners
- Financial reports audits
- Staff reports on key issues
- Organizational chart
- Policy procedures manual, including travel and expense policies.

Just remember that Rome wasn't built in a day. That is, too many documents delivered in one sitting can be overwhelming. Orientation notebooks are intended to be a repository of information that you can update or add to at a later time—which also happens to be a good argument for creating digital notebooks.

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program, which can be used to help orient newly elected officials to local government and the role of the professional manager.

Videos can be a helpful supplemental tool for such things as demonstrating various activities undertaken by city staff, touring city facilities, and/or summarizing major projects, including capital improvement projects. Videos are not necessarily the best method to communicate other, more sensitive information, such as a description of roles and responsibilities.

- **Facility tours**

  Tours of local government facilities are a very informative and useful alternative or addition to written or formal presentations. Tours give new council members a feel for government services and facilities and show council members how the decisions of the governing body affect the work accomplished.

  Don't rush participants through a tour of everything at once. Instead, choose fewer sites for each tour and allow time for questions and demonstrations that *show* rather than tell the local government story.

- **Future orientation opportunities**

  If your state municipal league conducts an academy for new council members, encourage your new members to attend. Although this program may cover topics that extend beyond the member's role in your community (such as proposed state legislation), it will orient new members to the role that the state plays in municipal affairs, making it an important component of the overall orientation.

  It can also be valuable for newly elected officials to hear the "messages" about effective local government from individuals other than the local staff—including, for instance, elected officials from other jurisdictions. This is another area where information and documents available through ICMA's Knowledge Network can be of value (e.g., check out the "Elected Officials" topic page).

Topics to Cover During Orientation

Whether your orientation program is formal or informal, you will want to cover information that specifically relates to councils as well as several other important topics, including communication, finance, technology, and emergency preparedness.

- **Council-specific information**

  Council-specific information includes all the items that relate to council members themselves in their new role. Some topics are best covered by the government clerk or attorney, so including them in these discussions makes sense. Examples of council-specific information include

  - Council member compensation (how they are paid), benefits received, expenses that are appropriate

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- Legal requirements (including financial disclosure and conflicts of interest)
- Expectations regarding ethical conduct
- Provisions regarding sunshine laws or open meetings laws
- Council norms, policies, procedures, and regulations
- Council meeting protocols (seating, use of technology at the dais, meeting etiquette, Robert's Rules of Order)
- Council members' roles regarding council subcommittees and service on regional boards and committees
- Media relations (including social media) and protocol, particularly during a crisis
- Conference and training opportunities
- Contact and communication with staff.

- **Communication**

  One of the most important and sensitive topics to review with newly elected members involves being as clear as possible about existing protocols regarding communication between the council and the manager and staff. It also involves establishing from the outset how

SIDEBAR

VISUALIZED LIFE STORIES ENHANCE ORIENTATION PROGRAM

Falls Church, Virginia

The local government manager of the city of Falls Church, Virginia, uses a multiphase approach to the city's new council member orientation, with the goal of engaging, empowering, and understanding the new council member. A unique aspect of the orientation is what they call public values and life stories. Borrowing a similar approach from Prince William County, Virginia, Falls Church uses a process of involving the new member and the city manager and senior staff in talking about and/or visualizing their life stories that inform their roles as public servants.

Source: City of Falls Church, Virginia, city manager's office.

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to appropriately communicate citizen questions and concerns to the organization.

- **Finances and fiduciary responsibility**

  Initial understanding of the financial workings of the local government is critical for new council members. They need to learn about the basics of the community's financial structure and condition and to understand their fiduciary responsibilities. Obviously this orientation will be only the beginning step in the council member's financial education.

  During this introduction to the subject, it is important to present

  - The financial position of the local government
  - An explanation of fund structure
  - An overview of the most recent CAFR (Comprehensive Audit and Financial Report)
  - The operating and capital budget cycle
  - Investment and treasury policies
  - A schedule for financial reporting to the council
  - Unfunded liabilities (e.g., post-employment benefits).

> "The sooner new members are ***brought up to speed,*** the sooner they will be able to respond."

- **Land use, economic development, and planning**

  In many cities, newly elected officials must quickly gain familiarity with land use and related issues. If new officials weren't contacted during the election campaign, they may immediately be contacted by interest groups such as developers and neighborhood groups promoting their views on both general and specific projects. The sooner new members are brought up to speed, the sooner they will be able to respond effectively to these contacts. The materials to be reviewed during the orientation will depend on how active and contentious the land use issues are.

  Present in as much detail as possible in the time allotted the following materials and issues:

  - Review of land use planning terms
  - Role of council in land use matters
  - Role of planning or zoning commissions/boards
  - Schedule of general plan, precise plans, or other policy documents that are coming to the council in the upcoming year
  - Status and trend of new development (infill or raw land) permits and building permits over the past five years
  - Preview of development projects that will appear before the council in the upcoming year.

- **Personnel and labor relations**

  Although council members' responsibility for personnel issues and labor relations will ideally be limited to overall policy direction, personnel issues and labor relations can be among the most difficult

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and challenging areas. An early and complete briefing on these topics can be critical. As in the case of land use decisions, interest groups (especially unions) will very quickly want to explain issues to new council members from their perspective. Context will be critical for new council members to be able to deal with these overtures.

Include in your orientation an overview of bargaining groups and the number of employees who are represented by each, the status of agreements, and the issues that management is hearing about from the labor groups.

> Newly elected officials need to understand ***how their local government is currently using technology. . . .***

- **Local government organizational structure**

  Knowing which departments are responsible for specific services and who is responsible for what within departments is an important component for newly elected council members. They also need to know each department's critical issues. At the orientation provide a list of department heads and their contact information. How—and in what circumstances—it is appropriate to contact staff is information that can assist a smooth transition.

- **The government's technology strategy**

  Both the public and elected officials expect local governments to effectively use technology. Elected officials, quite understandably, anticipate that technological solutions will be applied to the efficient delivery of services, internal operational efficiencies, communicating with the public, or a variety of other uses.

  As a starting point, newly elected officials need to understand how their local government is currently using technology and how it stays abreast of technological advances. It is also important that elected officials know how to stay informed about local government's use of the specific tools available to them.

  This is increasingly critical to how elected officials communicate and respond to their constituents and the city staff. The widespread use of such tools as digital agenda packets is on the increase. The sooner newly elected officials understand the technology strategies of the organization and the tools and information it makes available to them and their constituents, the smoother their transitions to their new leadership roles.

  Note that while we see that local governments' use of digital communication is quickly evolving, we recognize that many local governments are still very early in their adoption of digital communications. We are cognizant of how many of our members come from smaller communities with more constrained resources. It comes down to needing to address newly elected officials in whatever way works for them. While not ideal, it's better to give them the information in writing rather than that they not read it at all.

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COMMUNICATION GUIDANCE FOR ELECTED OFFICIALS IN THE AGE OF "GOING VIRAL"

It is safe to assume that most newly elected officials are already using e-mail on a regular basis, and many are also engaged in social media. The difference now is that they will be using these tools not as a private citizen but as an elected official.

The rules of the game change when using e-mail and social media as a public figure. As chief administrator, you can help your newly elected officials navigate this new context by reminding them of the far-reaching impact their electronic communications can have:

- Let your newly elected officials know that they will see a marked increase in the level of interest in their comments and opinions in comparison to when they were private citizens. You can help them understand that it's easy to underestimate the number of individuals who will be interested in their communications, and that in their public capacity little if nothing will go unnoticed. They need to appreciate how their communications can "go viral" with the touch of a button.
- Additionally, their comments, demeanor, and representations will be viewed through a much different lens than when they communicated as private citizens. A "funny photo" or humorous comment on Facebook or Twitter can easily be misconstrued or taken out of context. You can alert newly elected officials that the level of scrutiny they receive and the standard on how they are judged change now that they are in public office.
- Remind newly elected officials that the opinions they express will likely be viewed as not only their opinions, but also potentially those of your public agency. That means that with every e-mail and social media engagement, elected officials need to appreciate the potential impact on the organization and its colleagues.
- Be sure to make your new council members aware that in many states, their electronic communications can now be considered a public record. This can result in a very "rude awakening" for the newly elected official whose previous experience was that such communications could be considered private. Too many have learned of this new reality only when the local reporter asked to examine their e-mails.
- Point out that electronic communication does not allow for the nuances of in-person communication or even of a phone conversation. Elected officials are often engaged in communications regarding sensitive, and for some, even emotional topics—so how they come across in such communications is especially important. You can also warn them that it is dangerously convenient to quickly respond to a provocation in a way they may soon regret. Depending on the circumstances, the best response might be no response, or one that reflects more thoughtfulness than speed.

Helping newly elected officials understand that their world has changed in regard to electronic communication will well serve the elected official, the manager, and the organization.

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- **Social media initiatives and protocols**

  To the extent that your organization uses social media to communicate with its constituents, getting prospective and newly elected council members enrolled in your social media efforts is an important tool in communicating information. (See "Communication Guidance for Elected Officials in the Age of 'Going Viral'" sidebar.) This is the time to clearly convey the organization's practices and guidelines when it comes to using social media, particularly as they relate to council members' use of social media and how social media is deployed during community emergencies.

- **Emergency preparedness**

  Due to the unique and critical role local governments play in regard to emergency preparedness, a briefing on this topic needs to be a key part of orientation programs. The police chief and/or fire chief should give a high-level briefing on emergency preparedness during the orientation and invite participants to attend a more in-depth briefing to be given by a public safety employee charged with emergency preparedness. A preliminary briefing should touch on such issues as how communication to the public occurs during an emergency, what resources are available, and how the emergency response organizational structure varies from the normal organizational structure. And since an emergency incident

SIDEBAR

SHARING RESOURCES BETWEEN TWO ORIENTATION PROGRAMS

Glenview, Illinois

The city of Glenview, Illinois, shares resources between its trustee (council member) orientation program and its commissioner orientation program. While the trustees are elected and the commissioners are appointed (by the village president with consent of the board of trustees), a significant amount of information is important for success in both roles. While the differences in role and responsibilities are clearly outlined in an extensive packet of written materials, a great deal of common information is provided as well:

- Community history
- Organizational structure (including the council-manager form of government)
- Community demographics
- Finance and budgeting.

By using many of the materials for both groups, Glenview obtains more benefit from its efforts than if the material developed was only used for newly elected trustees.

Source: City of Glenview, Illinois, city manager's office.

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can occur at any time, it is important for newly elected members to be briefed as soon as possible regarding their role in the event of a community emergency. Confusion or misunderstanding regarding this issue can be very challenging in the midst of an emergency event.

- **Biographical information about the executive team**

  Enabling council members to begin to learn about the background of the organization's leaders is important to building strong relationships. Communicating the education, professional training, and career experience of key staff members helps develop elected officials' confidence in the staff.

Common Types of Orientation Programs

Among local governments with orientation programs, you'll find several commonalities as well as elements that are unique to the culture of each community. Commonalities include these aspects of the orientation:

- Briefing materials in digital or print form are given to new members before the orientation.
- The local government manager is personally involved.
- Department functions are discussed at a high level.
- Strategic and critical issues are identified.
- Clear designation is given about the contact person for specific questions and problems and additional information.
- Opportunities are created for newly elected council members to ask questions and express their interests and aspirations.
- Orientation programs in local governments differ according to each unique jurisdiction, but they usually fall into three basic types:

  1. A meeting with only the manager
  2. A formal overview orientation
  3. A formal in-depth departmental orientation.

Meeting with Manager Only

In this instance, the manager schedules a one-on-one meeting with a new council member. As manager you present basic information about the community, such as an overview of the local government organizational structure, council roles and relationships, policies and procedures, legal constraints, methods of communication with you and your staff, and key issues and goals.

This two- to three-hour meeting is supplemented by materials that include council policies and procedures, city code, council goals and work plans, fiscal year budget, most recent CAFR (Comprehensive Annual Financial Report), organizational structure, and biographies of the executive staff. The initial meeting may be followed by additional meetings to discuss specific departments.

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> In many states, ***the municipal league or county association*** can provide advice on planning your orientation program. . . .

Formal Overview Orientation

A more formal and longer orientation can run from a few hours to a full day or multiple days. Formal overview orientations are often found in larger communities, where council appointees (e.g., clerk, attorney, auditor) and/or department heads make presentations, including presentations on all major service areas rather than on specific departments. The presentations are often followed by a tour of facilities and major capital projects in progress.

This orientation includes comprehensive materials that describe each department in greater detail, summarize recent performance and budget information, and present the council's policies and procedures.

In some communities, newly elected council members represent specific districts, and their work with the local government staff will be partially oriented toward the specific issues of those districts.

Formal In-Depth Departmental Orientation

An orientation conducted over several days (depending on council member preferences and time considerations) is the third common type of program. Each department (or departments jointly by service area) provides a briefing at its facility and includes the top management of the department. Ideally these briefings are consistent in format across departments and include

- Organizational structure of the department
- Major services provided
- Current issues
- Strategic plans and longer-range issues
- Type of constituent contacts with the department
- Contact information
- Tour of facilities.

Dialogue between the department head, staff, and the newly elected council member is a significant aspect of this type of orientation.

In addition to the department-by-department orientation, the local government manager usually conducts one-on-one meetings with the newly elected members when this format is used.

How to Plan Your Orientation Program

Some of the logistics of putting together an orientation program include consideration of what material other organizations may already have compiled and how the orientation itself will unfold. Some of those considerations follow.

- **Identify resources.** You don't have to rely on local resources alone. You can build on existing programs and materials offered by state associations, other local governments, and national associations.

  In many states, the municipal league or county association can provide

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advice on planning your orientation program, and most provide information about relevant state laws. Several of these organizations publish orientation manuals or handbooks for newly elected officials and offer orientation or training programs for newly elected officials throughout the state. A state orientation program provides a valuable opportunity for members of the governing body to discuss with colleagues the challenges and difficulties of elected officials in a variety of communities across the state.

In some areas, the county and jurisdictions within it combine their resources to conduct one program for all newly elected officials. Other communities have looked to a council of governments, a private organization, or a consultant to develop a program for their local officials. Contacting managers in neighboring jurisdictions may be your best strategy for learning about your options.

Also familiarize yourself with the resources available through national organizations. ICMA as well as the National League of Cities (NLC), the United States Conference of Mayors (USCM), and the National Association of Counties (NACo) all provide workshops and written materials.

SIDEBAR

EXTENSIVE COUNCIL MEMBER MANUAL

Extensive Council Member Manual

Local government managers in Denton, Texas, use an extensive *Council Member Manual* as a foundational component of their orientation program. The major sections of the manual cover the following topics:

- Explanation of city government (charter, council-manager form of government, and mission and values statement)
- Responsibilities (legal and policy requirements)
- Meetings (including types of meetings, agendas, rules of order, and participation guidelines)
- Logistics (ranging from supplies and resources to travel policies).

Also appended to the manual as additional resources are a series of documents including the city charter, the city's strategic plan, the ethics policy, the travel policy, and a contacts list. A new council member orientation session is held with an agenda that includes a review of the manual, a review of the organization's structure, and presentations by key staff and other city council appointees. There is also an orientation session regarding city council chamber equipment and a tour of city hall.

Source: City of Denton, Texas, Council Member Manual.

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> . . . complete an issues booklet well ***before*** the candidate filing date. . . .

- **Assemble documents and materials.** Documents and materials provided to newly elected officials usually include the charter, an organization chart, a list of advisory boards and commissions, and other documents that explain organizational structure as well as recent agenda packets, the budget document, council-adopted goals, and progress reports. If you plan to provide an orientation notebook, see the "Orientation Notebook: What to Include" sidebar.

  In some communities, an issues booklet acquaints elected officials with basic facts about critical issues and the status of key programs. An issues booklet is particularly useful when there are a number of newly elected council members; when complex and divisive issues dominate the debate; or when controversial issues must be addressed during an elected official's first weeks on the job.
- **Provide council *candidate* orientations**. Council candidate orientations not only provide a head start for those individuals eventually elected, but also help inform all those running for election. To avoid the appearance of favoritism or partisanship in an orientation program for candidates, you should complete an issues booklet well before the candidate filing date that will be made available to all the candidates.

  Additionally, some exposure to the staff will likely decrease the likelihood of staff being made an "easy target" during the election process because some sense of personal relationship will have already been established. While there are no guarantees, many find these types of candidate orientation programs increase the odds of a more fact-based election process and provide the opportunity to build credibility between the staff and candidates, regardless of who is eventually elected.
- **Determine strategies for success.** Decide on the structure and components of your orientation program, taking into consideration the needs of the participants, issues facing the community, style of the manager, and resources. Additionally, they will gain confidence in the capacity of the organization and its staff to perform their roles at a high level. As you plan, remember that newly elected council members will be able to take on new responsibilities more quickly if they have ample opportunities to ask questions, express concerns, listen to experts, and witness government in action.
- **Plan the agenda and logistics.** Participants will learn more if they are actively involved and challenged to apply what they are learning. Encourage discussion, feedback, and questions. Provide checklists, worksheets, and handouts. Avoid the appearance of lecturing.

  Schedule events as far in advance as possible and avoid holidays and crunch times (such as when the budget is due). Check with participants and presenters to identify dates and times.

  Before the orientation program takes place, provide all presenters and participants a detailed agenda for each program/event. Include your

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purpose and goals on the written agenda, as well as the times and locations of all activities.

- **Rehearse program activities.** After you have drafted a schedule of activities, review all handouts or digital materials to ensure that they are error free and easy to follow. Review each day's events to make sure that participants will be able to follow the flow of information, that there is variety among the presentation styles, and that all activities reinforce your goals.

  You may want to ask presenters for outlines of their presentations to ensure that their outlines are consistent with your goals and with each other. Well before the orientation program, schedule a meeting for all employees who will be involved. Use the meeting room scheduled for their presentations so that you can familiarize them with the room setup and equipment. Make sure you have arranged for all the equipment the presenters will need.

  If you are conducting a tour, schedule a dry run using the vehicles and equipment that will be used in the actual tour. Note the time for travel and for presentations, and adjust the schedule accordingly.

  Keep in mind that a well-organized, well-planned, and well-implemented program will create a positive impression for your newly elected officials, while a poorly planned and executed effort could have the opposite effect.
- **Evaluate your effectiveness.** Evaluation strategies should attempt to define the strengths and weaknesses of the program for future planning. Ask participants what they found most useful and what changes they would suggest. Include program planners, employees, and presenters in your evaluation process.

> "Even if you cannot muster a comprehensive orientation, ***do as much as you can.***"

Effective Orientation Practices

The first few weeks and months of a new council member's service are a critical period for the council member and the local government organization. How effective the transition is can have significant short- and long-term implications for the organization and the community. A thoughtful and appropriate orientation program that is consistent with your resources and organizational culture can be an important tool in helping to make this transition successful.

The authors' review of several programs and their own experience suggest that the following practices makes for an effective new council member orientation program:

- **Do something!** Even if you cannot muster a comprehensive orientation, do as much as you can. Doing nothing to prepare new council members should not be an option.
- **Treat all council members alike.** Make the same opportunities available to all new council members with no exceptions. Also be sensitive to the possibility of current council members feeling "left out" and counter that possibility by providing them access to the same information created for all of the new members.

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- **Be flexible on timing and format.** Although one council member should not be favored over others, be willing to be flexible in regard to adjusting the format, timing, or style of the orientation to meet the individual needs of the council members.
- **Include the entire executive team.** It is important for council members to get to know the staff they will interact with on a regular basis early in their tenure.
- **Use a consistent format for all departments.** Do not allow one department with more resources to put on a bigger show than those with fewer resources.
- **Keep materials a manageable size.** Providing a comprehensive resource document is helpful, but if it is too voluminous, it may not be read. Try to find a good balance between completeness and too much detail. Try to summarize complex topics and reference where additional information can be found, most likely through your local government's website.
- **Maintain neutrality on the topic of changing government standard operating procedures.** Provide useful information, but do not overly advocate for the status quo. It is not likely to be taken well if the presentation comes across as "this is the way we do it (and we do not plan to change)."

Final Word

The authors surveyed more than 30 cities while preparing this material. When asked about the reaction of newly elected officials to their orientation program at the completion of the orientation, nearly all answered, "Very appreciative and amazed at the depth and breadth of the services provided by the city." Often we are so close to the organization that we assume others know its complexity; the reality is that they do not. A newly elected council member has a steep learning curve, and as the local government manager, your job is to use a strong orientation program to start the learning process and set the tone and quality of these new relationships.

Additional Resources

"10 Habits of Highly Effective Councils," by Carl H. Neu Jr., *PM* (November 1997).

"Answering the Cheshire Cat: The First 45 Days of a New Council,"by S. Bruce Peever, *PM* (August 2005).

"Consensus Building: Keys to Success," *IQ Report*, Volume 36, Number 10 (2004). Discusses various levels of consensus, misunderstandings about what consensus means, and the fact that consensus is based on trust and shared vision. Details general techniques for building consensus and provides specific guidance when issues are professional or become personal. Concludes with a short discussion of consensus building as a necessary

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skill for the local government manager of the future. By Herbert A. Marlowe Jr. and Larry Arrington. Item no. E-43219.

"Effective Council Meetings," *IQ Report*, Volume 37, Number 1 (2005). Focuses on preserving (or bringing back) a level of courtesy and decorum in council meetings; addresses the need for rules of procedure that establish clear standards of behavior; offers a simplified version of Robert's Rules of Order; and introduces a values framework to help elected officials identify what lies at the root of public problems and make wise decisions in response. By Robert K. Bush, William L. Steude, Dave Rosenberg, and Phillip Boyle. Item no. E-43334.

Leading Your Community: A Guide for Local Elected Leaders (2008). Provides a quick and easy-to-understand introduction to the roles, responsibilities, and relationships of local elected officials. This 90-page guide provides a framework to help the newly elected official strengthen his/her effectiveness as an individual leader and as a member of the local leadership team. By Christine Becker. Item no. E-43546.

"Manager as Coach: Increasing the Effectiveness of Elected Officials," *IQ Report*, Volume 35, Number 10 (2003). Highlights development activities and communication strategies for local government managers who want to help elected officials perform effectively, both individually and collectively. Focuses on the values of successful teamwork, representative democracy, professional management, sound political leadership, and collaboration. Includes coaching action plan. By Carl H. Neu Jr. Item no. E-43067.

"The Paperless Council," *IQ Report,* Volume 34, Number 10 (2002). Describes how information technology can be used to prepare material for council meetings and then make it available to council members and the public. Discusses the importance of local government size; the sophistication of the IT infrastructure and staffing; interest expressed by council members, the manager, the staff, and the public; the kinds and amounts of investment needed; ways of promoting the paperless council; evaluation; and issues of security and equity. By Sheldon S. Cohen. Item no. E-43054.

"The Value of Going Back to the Basics," by Gus Morrison and Jan Perkins, *Western City* (June 2005).

KEY NOTES

- An orientation program lets you help elected officials become acquainted quickly with a wide variety of topics to which they have had little or no exposure and yet about which they may need to make significant decisions.
- The sooner your orientation program is able to give new members an understanding of group decision-making dynamics, the sooner they

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learn how to function best in this environment, and the more likely it is that they will be effective in their new role.

- To whatever degree organizational resources allow, the more comprehensive the orientation, the better.
- Do not allow one department with more resources to put on a bigger orientation presentation than those with fewer resources.
- If possible, try to complete at least one phase of the orientation (e.g., the meeting with the local government manager and department staff) before the new council members assume office.
- At the orientation provide a list of department heads and their contact information, and describe how—and in what circumstances—it is appropriate for council members to contact staff.
- The orientation can help newly elected officials understand that in many states, their electronic communications can now be considered a public record, which means that with every e-mail and social media engagement, elected officials need to appreciate the potential impact on the organization and its colleagues.
- It is important to brief newly elected members as soon as possible regarding their role in the event of a community emergency, since an emergency incident generally occurs with little or no warning.
- Remember that you can build on existing orientation programs and materials offered by state associations, other local governments, and national associations.
- In some communities, an issues booklet acquaints elected officials with basic facts about critical issues and the status of key programs.
- Newly elected council members will be able to take on new responsibilities more quickly if they have ample opportunities to ask questions, express concerns, listen to experts, and witness government in action.
- After you conduct an orientation, ask participants what they found most useful and what changes they would suggest.

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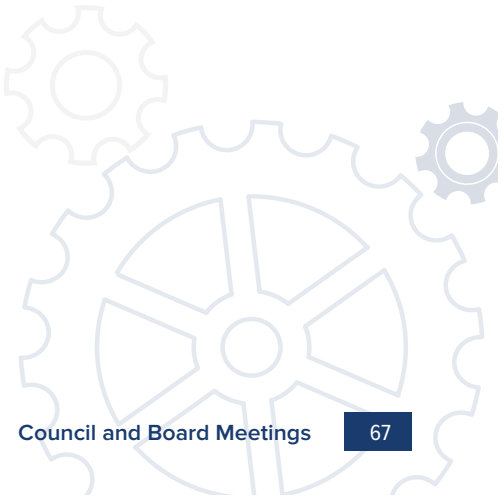
Chapter 5

COUNCIL AND BOARD MEETINGS

Where local government democracy takes center stage



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It's tempting to judge a meeting's success based on the decisions made, but ultimately the manager and staff should judge the success of the meeting based on what role they played in ***placing the council in the best possible position to make an informed choice.***

One of the most visible manifestations of the council-manager relationship is the actual and perceived effectiveness of council meetings (also called governing board or board meetings). These meetings are the key points in the local government process where the community's elected leaders make decisions on the community's behalf. Successful governing board meetings are a top priority for elected officials.

The Right Ingredients

When these meetings are successful, the elected representatives provide clear policy direction for the staff to implement. However, to a large extent, "the [meeting] process is the product." That is, what preparation went into the agenda, how the council reaches its decisions, how council members interact with each other and staff, and how public participation is encouraged and facilitated are critical ingredients to the actual and perceived success of the meeting.

Successful meetings end with the council, staff, and public believing that the decision-making process was thoughtful and deliberative, and with all participants in the process feeling that their role and perspective were considered, respected, and appreciated. While some will judge the meeting simply from the perspective of their agreement with the decisions reached, most will also place high value on how those decisions were reached.

From a council's perspective, a successful meeting requires that council members be fully informed regarding the topics on which they will be making decisions, including complete and unbiased information and alternatives. As manager you need to provide this information on a timely basis and in form(s) reasonable for council members to digest.

It's tempting to judge a meeting's success based on the decisions made, but ultimately the manager and staff should judge the success of the meeting based on what role they played in placing the council in the best possible position to make an informed choice.

Citizens, the press, and other interested parties should take from the meeting a sense that the process was open, that all views were heard and respected, and that the council made a thoughtful decision, carefully considering all appropriate factors. A council meeting is in many ways like a performance. This is not to suggest that the meeting is intended to be entertaining (though meetings can be!) or artificial, but to recognize that the meeting is the council's public demonstration of its community leadership role. It is quite possibly the most prominent venue for judging both individual council member performance and the performance of the council as a whole. How successful that performance is, is critical to the council and therefore also to the relationship between the council and the manager.

To establish and maintain a good working relationship with the council, the manager needs to be perceived as playing his or her part effectively in ensuring successful council meetings.

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Meeting Protocols

Clear meeting protocols are a fundamental component for effective council meetings. These protocols cover a wide variety of topics ranging from planning and preparing for council meetings to participants' conduct and operating procedures during meetings, to post-meeting follow-up with the council and staff.

Robert's Rules of Order (or a similar set of protocols) can spell out the process for conducting business and, in essence, serve as procedural guidelines regarding meeting conduct. While meetings can vary in formality from community to community, rules and protocols serve as the foundation for the conduct of meetings. Of critical importance is getting council or board buy-in on the need and value of such rules and making sure that all members are familiar with the protocols.

In addition to general protocols, most cities and counties also have a series of local policies regarding the conduct of meetings. Here are a few examples:

- **Consent calendars.** Consent calendars let you group a number of routine action items in one vote. It is generally assumed that these items do not require a staff presentation and will not require council discussion. Consent calendars can be one of the most efficient techniques in designing an efficient meeting.
- **Waiving the reading of ordinances and resolutions.** There are often opportunities to forgo the formal reading of ordinances and resolutions prior to a vote. A policy allowing such waivers can save considerable time.
- **Speaker time limits.** Few things are more appreciated, while often difficult to attain, than reasonable brevity of remarks at council meetings. While such brevity is appreciated regardless of who is speaking, formal limits are generally only applicable to members of the public. Although such limits (often 3 or 5 minutes) can be controversial, they can be very effective in moving meetings along while allowing the public to provide input. Guidelines are sometimes also developed to encourage reasonable brevity by staff and elected officials.
- **Maximum meeting duration.** Many organizations find it useful to set a time by which meetings must end (particularly for night meetings). The concept is based on the belief that the likelihood for effective decision-making decreases toward the end of a long meeting, particularly if the hour is late. Additionally it is viewed as unreasonable to expect the public to be able to reasonably participate in a meeting that goes long into the night. Often such maximums can be waived by a majority of the board based on specific circumstances.

Longer Term Agenda Planning

An obvious, but sometimes not fully appreciated, component of successful council meetings is carefully planning, sometimes months in advance, the

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topics to appear on particular agendas. It is easy to appreciate that the nature and content of agenda items significantly affect how challenging a particular issue may be. Perhaps not fully recognized is the impact of when an item appears on a meeting agenda and what other items are also on the agenda. The number and type of issues scheduled in a particular time frame affect how successfully the staff and governing board deal with those issues.

It follows, then, that planning for meetings, sometimes months in advance, and scheduling agenda items strategically can have a significant impact on the success of your meetings.

The Relationship Between Goals, Work Plans, and Meeting Agendas

Ideally agenda planning and your organization's goals and work plans will be carefully linked, recognizing that neither should completely drive the other. That is, you wouldn't want to schedule items for meeting agendas without making sure the timing is reasonable based on existing goals and work plans, making sure there is sufficient time to properly prepare the item for the governing board's review. Prematurely scheduled items can result in rushed or incomplete staff work.

Still, items should not be scheduled for consideration solely based on the work plan for that particular item. Equally important is consideration of how the confluence of the various individual topics can impact the success of the overall meeting.

Project schedules and agenda planning need to be carefully linked to ensure that before items are scheduled for review, sufficient time has been allocated for their completion and that the impact of agenda items on each other has been carefully considered.

Spacing Complex or Controversial Issues

Many consider an ideal meeting as having a good balance of both routine and significant (more complex and/or controversial) issues. A lot of "every-day" work needs to be done at meetings, and those items need to be as successfully managed as any others. The real challenges, however, come up when one or more difficult/complex/controversial issues need to be addressed in the same agenda. These, by their very nature, require more care and planning. Having too many of these issues either on the same agenda or in close proximity timewise can have a significant impact on their eventual outcome:

- **Gauging stress levels.** Consequences for not properly spacing/scheduling agenda items include the extremes of council members believing that there was not enough substance to the meeting to merit their time, to members being frustrated with the length or amount of controversy related to a particular meeting. While managers often gauge the tolerance of elected officials for meeting length, managers

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should also be aware of the council's level of tolerance for the degree of complexity or controversy in a meeting.

It is common, and quite natural, for elected officials to feel stressed and uncomfortable when dealing with difficult, controversial, and/or complex issues. Even though these are normal aspects of elected office, it doesn't mean these circumstances are not difficult. When elected officials are confronted with too much controversy in a particular meeting, it can impact their decision making, or even their willingness to make a decision.

- **Creating issue overload.** When scheduling an issue that is anticipated to be challenging and/or controversial, it's critical to take into consideration the other items on the agenda. You should consider not only the amount of time required by an item but also the amount of controversy associated with it. Often a more positive resolution to an issue can be attained when the council is not already stressed from its deliberations on a previous issue (or by its anticipation of an upcoming issue later on the agenda).

  Issue overload can also negatively impact staff by making the preparation for an upcoming meeting difficult given all the work needed to prepare multiple challenging items for council review.

  Councils and staff aren't the only ones affected by the number and types of issues considered on the same agenda or in close time proximity. This can also impact the public's perception of the organization and its elected officials as well as the public's response to issues. It can result in the public associating what in other circumstances would be unrelated topics.
- **Balancing urgency with timing.** Also critical is the staff's and board's ability to prioritize and be disciplined. Often there's pressure from a variety of sources to get items on the council agenda immediately. This produces a natural tension between a sense of urgency and the need to have adequate time to prepare the item for consideration, as well as avoid overloading a particular agenda or a specific period of time. Too many items considered on the same agenda or in close time proximity can result not only in less than ideal preparation but also longer than ideal meetings and issue overload—particularly if many of the issues are of a complex or controversial nature.

“When elected officials are confronted with too much controversy in a particular meeting, ***it can impact their decision making,*** or even their willingness to make a decision.”

Agenda Preparation and Planning

The likelihood of a meeting being successful is often determined more by what preparation goes into planning the meeting than by what the staff does at the meeting itself. Many managers believe that their real work occurs before (and after) the meeting versus at the meeting itself. How the planning is undertaken for the meeting, including who plays what role in the preparation for the meeting, is critical.

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> From the outset, the ***staff need to thoughtfully consider*** which groups and individuals are (or are likely to view themselves as) affected by a particular topic or decision.

Who Sets the Agenda

The first question each organization needs to address is, who sets the agenda—that is, who determines what will appear on the agenda and in what order? The answer to this question varies significantly from one organization to another. Sometimes it is the manager who exclusively sets the agenda, and in other cases, the mayor or chair determines the agenda. Often the two work together to formulate the agenda.

Additionally, agenda content can certainly be influenced by the governing board itself and, at times, subcommittees of the governing board. Various approaches can be valid, but the key is to have clarity about who does what. And certainly from the manager's perspective, it is critical that she or he have the ability to influence the agenda due to the key role the organization's staff plays in preparing for and participating in the meeting.

Often the best approach is the manager and mayor or chair working collaboratively in preparing the agenda. As manager you are able to bring to the process knowledge of the pending issues as well as staff workload and related issues. The mayor or chair is able to bring the perspective of an elected official. And of significance, the mayor or chair will be the individual responsible for actually managing and conducting the meeting.

Who Places Items on the Agenda

Regardless of the approach, having clear policy and protocols regarding who plays what role is a must. Without clarity, the agenda preparation process is likely to be a regular source of contention. Everyone needs to understand who has the authority to initiate the placing of a new item or topic on the agenda. Can the manager, the mayor, an individual council member, a certain number of council members, or some combination of the above? Since even the appearance of certain topics on a council agenda can have repercussions, the authority to do so must be clear to everyone and recognized.

Factoring in Agenda Preparation Time

Another important aspect of placing items on council agendas is the allocation of sufficient staff time to prepare the requisite reports, do proper noticing, and the like. So while it is obvious that agendas need to be planned around the available time at the meeting itself, upcoming agendas also need to consider the available staff time to prepare for the item. Without reasonable preparation time, staff reports are likely to be inadequate and public noticing insufficient, and staff will be subject to overload and burnout. All are likely to contribute to unsuccessful meeting deliberations.

Providing Advance Public Notification

Another important component of a successful meeting is making sure that adequate notification to interested parties is carried out in a timely fashion. From the outset, the staff need to thoughtfully consider which groups and individuals are (or are likely to view themselves as) affected by a particular topic or decision. Failing to do so almost certainly ensures a challenging

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item, with people showing up at the meeting saying they were not adequately notified of the council discussions. Of course, even worse is this concern being raised after the meeting. In these instances you must deal with not only their perceptions regarding the issue at hand but also their belief that they were not considered important to the deliberation—or even worse, that they were purposefully kept in the dark.

"Clocking" the Agenda

It is also important to anticipate how much time will be required to work through the various issues on the agenda, as well as the complexity and amount of controversy that will be loaded into one agenda. While estimating how much time each item is likely to take is never precise, the attempt at least gives you some sense of what is realistic for any particular meeting. Some organizations place estimated timing on a planning agenda and sometimes even on a final agenda. This serves not only to estimate what is feasible for a particular meeting but also to gauge progress as the meeting unfolds.

"While estimating how much time each item is likely to take is never precise, ***the attempt at least gives you some sense of what is realistic*** for any particular meeting."

Weighing the Items

The nature of the items is equally critical. Are the items complex or straightforward, routine or controversial? Are a significant number of constituents likely to come to address any of the issues? Are any of the agenda items likely to generate strong emotions? Your answers to these questions will significantly inform decisions regarding agenda planning. As an example, an emotionally charged item that draws many citizens can have an unanticipated impact on another agenda item.

Ordering Agenda Items

Lastly, the order of items on an agenda can have a significant impact. More complex and difficult issues are sometimes best considered earlier in the meeting when the council members are "fresh." You may want to get some routine business done first in order to get a challenging meeting off on a positive note. At the same time, it's usually good to avoid making a packed audience interested in an emotionally charged item wait long for their item to come up.

Staff-Prepared Reports

Two of the most important and fundamental ingredients for a successful governing board meeting are the staff research and report preparation that occur in advance. Staff reports are generally the primary basis for the discussion and deliberations at the meeting. The quality of the reports can, to a large extent, determine the ability of the meeting to achieve its goals.

Who Prepares the Reports

The first question once an item is placed on a governing board agenda is, who is going to prepare the report? Will it be someone in the manager's office (possibly the manager herself/himself), a department head, or

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another member of a line department? Is report preparation limited to certain levels of staff or those with certain experience? Will it be prepared by one or more staff who have worked closest to the issue, regardless of report preparation experience or level in the organization? In many organizations the answer can often be "all of the above."

The right person or persons to prepare a report depends on many factors including those noted above. Having one or more staff members who have worked closest on a topic prepare the first draft of the report ensures that the technical information creates a good foundation even if the report is subsequently modified by others more experienced with producing material for the governing board. These protocols can and do vary widely from one organization to another. The key is to make sure that the final product is clear and complete and facilitates decision making.

> Organizations should be clear in regard ***to what is considered an adequately prepared staff report.***

Training and Guidelines for Report Preparation

You shouldn't assume that a very capable staff person who does not have experience writing governing board reports will be able to prepare a great report without training and guidance. Preparation of these reports is a sensitive and often demanding exercise. And with so much riding on the outcome of these agenda items, the ability to write effective reports should not be taken for granted.

Many organizations have set up training programs to assist staff in learning how to write quality staff reports. These programs are aimed at staff members who have no experience preparing reports or who do so only occasionally. The programs show staff the fundamentals as well as nuances of report writing. These organizations appreciate that writing consistently well-prepared reports is a learned skill and that offering report preparation training is to everyone's benefit.

Report preparation guidelines often include report length, report components and format, how to present recommendations, and the like. In regard to report length, the item's subject matter—including relative complexity—dictates some variance, but an individual's writing style should not dictate report length.

Whether you offer report-writing training and/or written guidelines, report preparation tools help establish a consistency among reports, which in turn helps governing board members focus on the substance of the reports rather than be derailed by reports that vary widely in format, style, length, and components.

Organizations should be clear in regard to what is considered an adequately prepared staff report. Inconsistency in this regard can often result in delayed decision making or, even worse, a rejected recommendation primarily based on how the recommendation is framed.

Report Sections

Establish a clear understanding of the fundamental, required components of staff reports—that is, the elements that need to be consistently included

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and presented in the same order. Among the sections typically in reports are these:

- Recommendation
- Executive Summary
- Background/History
- Staff Review/Analysis
- Financial Impact
- Summary/Conclusion
- Pros/Cons
- Alternatives.

Each organization should define what sections or components are required in each report to ensure consistency with whatever standards are developed.

Final Report Approval

Organizations also need to have clear procedures regarding review and approval of reports. Who has the final say on what the report contains and its recommendation? Do reports require review at multiple levels of the organization? Who figuratively or literally is required to "sign off" on the reports? The manager needs to establish organizational clarity and consistency regarding all of these issues.

Recommendations

Issues that are viewed as "pure policy" often do not carry a recommendation, but the bottom line for most staff reports comes down to the recommendation(s). This is where all the research, analysis, and professional opinion are distilled into action. By making a recommendation, the staff is entrusted with a very significant role in the public decision-making process. As manager, your job is to ensure that this ability to significantly influence the process of government is carefully and thoughtfully exercised.

- **When no recommendation is proffered.** It can be challenging to determine in which cases a recommendation should not be offered. An issue simply being controversial is not a good reason to forego a recommendation. It can be perceived as the staff dodging a difficult issue while not assisting the governing board by providing their best professional judgment (professional judgment for which they are compensated).

  On the other hand, a decision revolving around a community value judgment (e.g., whether to establish a local minimum wage or determining an overall land use philosophy [residential only, heavily commercial, etc.]) is usually not one for which the staff is best positioned to offer a recommendation. These can be cases where the staff would only be offering its personal opinion regarding a community value—a role that is best served by the community's elected representatives.

> By making a recommendation, the staff is entrusted with a very significant role in the public decision-making process. As manager, ***your job is to ensure that this ability to significantly influence the process*** of government is carefully and thoughtfully exercised.

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- **Alternatives and pros and cons.** Even when staff make a recommendation, legitimate alternatives to the recommended action may exist. You and your staff need to exercise caution in giving the impression that there is only "one right way" when in fact there are often alternatives that could be reasonable. The credibility of your recommendations can be enhanced by including a review of legitimate and carefully thought-out alternatives in the staff report.

  The review of the alternatives, as well as the recommendation itself, should include a review of the various pros and cons associated with each potential course of action. This can be a challenging exercise since it is natural to not fully see the advantages of courses of action that are not being recommended. Additionally, it is challenging to avoid biasing a report if there is a strong sense of one course of action being the correct way to proceed. However, if this very important prerogative is going to be exercised appropriately, care and thought must be brought to bear in regard to an open and honest appraisal of the pros and cons of both the recommended action as well as its legitimate alternatives.

> There is ***no better recipe for failure*** than rushing a complex or controversial issue.

Working Through Controversial and Complex Issues in Advance

Many difficult, challenging, and/or complex issues have little chance of resulting in a successful review and decision-making process if they are rushed. Many issues can be successfully resolved if policy makers are given time to become comfortable with the scope and complexity of the topic. The difference between success and failure can simply be how much of an opportunity the elected board has to become familiar with the issue and gain confidence with the recommendations being offered. There is no better recipe for failure than rushing a complex or controversial issue.

The "Multiple Touch" Rule

Consider this concept the "multiple touch" or "multiple exposure" rule. That is, an elected board can become comfortable with what initially appears to be a very challenging issue by having more than one opportunity to discuss and provide input. Simply having more time to consider the issue and recommendation can increase the odds of the policy makers becoming confident enough in the recommended course of action to proceed.

There are many ways to provide "multiple touches" for a council, including these:

- **Board subcommittees.** A subset of the council can delve into a challenging topic in advance of full council consideration. This can help identify and answer questions in advance, provide the staff with additional information regarding how to present the issue to the full group, and create positive momentum if the subcommittee is able to support the proposal.
- **Study/work sessions.** It can be helpful to allow the council to review and discuss significant topics in advance of when they will actually

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need to make a decision regarding the issue. The use of study or work sessions accomplishes similar goals as the use of a council subcommittee, but engages the full council in the conversation. Although more time-consuming, getting feedback from the entire board in advance has two advantages: It helps policy makers become more comfortable with the issue, and it provides valuable information for the staff to prepare its final recommendation or proposal.

- **Individual member briefings.** While being mindful of any relevant statutes regarding discussion of issues with elected officials outside formal meetings, providing individual or small-group briefings of policy makers prior to formal consideration can help increase comfort levels with the issue(s) while alerting the manager to questions and issues in advance.

These and other techniques can significantly increase the odds that at the end of the process the elected board will make a decision on the merits of the issue, not because they are feeling rushed or not fully prepared.

Receiving Council/Board Questions in Advance

One very valuable factor for improving the odds for a successful board meeting is when the manager is aware of or able to respond to council member questions in advance of the actual meeting.

Being aware of such questions alerts staff to the issues on the minds of the policy makers and, with sufficient advance notice, allows staff to be prepared to respond to those questions either in advance of the meeting or at the meeting. Since the goal for each meeting is to arrive at well-informed decisions, and with the likelihood of that outcome decreasing with unanswered questions, the effort of the elected officials to identify and communicate their questions in advance and the effort of staff to respond (or be prepared to respond) are well worth it.

Establishing Working Norms

Receiving questions before the meeting works best when the manager and the council create a working norm that establishes that council members will forward their questions prior to the meeting as often as is possible. While this takes both time and effort on the elected officials' part, the manager can communicate to them how significant this factor is to the success of the meeting and to their ability to make good decisions. The odds of council members being willing to provide questions in advance increases significantly when they understand why.

Council members can appreciate that it's in no one's best interest when staff are unable to answer questions at the meeting. Additionally, a good deal of meeting time can be saved by answering questions prior to the meeting that are not necessary to ask at the meeting itself. Even if a board member believes it is important to publicly ask a question (and get a response) at the meeting, alerting staff to the question in advance (and

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possibly even getting an answer in advance) greatly increases the odds of getting an answer to the question.

Nonetheless, even with agreement about this good practice, it is not always easy to implement. Well-intended elected officials may not get around to submitting questions in advance due to a lack of time or as a result of procrastination. Anything staff can do to make the task for the council members easier—for instance, sending a reminder or direct outreach to elected officials in advance of the meeting—increases the likelihood of getting the questions in advance.

Another challenge is getting the questions far enough in advance to actually undertake the research (if necessary) to respond to the question. It helps to have agreed-upon protocols regarding how far in advance of the meeting the questions should be provided. Such understandings need to be in the context of when the elected officials get their agenda materials and how far in advance of the meeting is considered appropriate for the staff to respond.

> “...staff need to do all they can ***to anticipate potential questions*** and be adequately prepared to respond.”

Handling the Surprises

Sometimes managers encounter an elected official who may believe it is to his or her political advantage to “stump the staff” and surprise them with questions at the meeting. The elected official may want to either derail an item or, for whatever reason, place the staff in an awkward position. (Also see “When Things Go Wrong” chapter.) While working with elected council members who purposely engage in such behavior is challenging, it is often the reality of our work. That’s why creating the cultural norm (and value) of not surprising staff at meetings is so important. With the norm in place, peer pressure may prevail and put a halt to the kind of behavior described here. Regardless of getting questions in advance of the meeting, staff need to do all they can to anticipate potential questions and be adequately prepared to respond.

Staff Presentations at the Meeting

As important as a quality staff-written report distributed prior to the meeting is, equally critical is the actual presentation of the material at the meeting. How the information is presented and how questions are responded to can often make all the difference in regard to the successful conclusion of an agenda item.

Who Presents

One of the first questions that needs to be answered is, who presents the report? A good practice is to have a general understanding regarding this issue within the organization in order to have a reasonable level of consistency among the various departments. Who presents can vary significantly depending on the nature of the item and the experience and capabilities of staff in particular departments, which makes having an overall organizational philosophy helpful.

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In some organizations, and more commonly in the past, the manager is the primary presenter of staff reports to the elected body. It is now not unusual for department heads and other staff to present reports at the meeting. Experience in presenting such reports can often be a criterion for making this determination, as can familiarity with the topic and authorship of the report. It can make sense to have the person who prepared the report give the presentation since she or he is most familiar with the report and related background. However, that person may or may not have much experience in formally presenting reports in public. Many organizations view allowing relatively inexperienced staff to make such presentations as part of the organization's responsibility to help staff members grow and develop in their careers. Of course, the significance of the issue and the relative controversy surrounding the issue are important factors as well.

> Working with other staff members ***to brainstorm potential questions*** can be very helpful.

What Is Presented

It is important to have an understanding between the council and the manager and staff regarding the length, format, and content of staff presentations of agenda items. Should the presentation simply be a brief summary of the written report? Should it be simply being available to respond to questions? Should it be a complete recap of the contents of the report? While the answers can vary depending on the nature of the topic, expectations of staff and the council need to be in sync to the greatest extent possible. Making a presentation that the council views as either inadequately brief or overly long can hinder a successful outcome.

Presentation Training

Making an effective staff presentation at a public meeting does not come naturally to most. It usually takes training and practice. (Also see "Training and Guidelines for Report Preparation" earlier in this chapter.) The ability to learn from other staff members who are viewed as experienced and successful in making presentations is important. Having agreed-upon formats can be helpful. Some organizations have training programs specifically designed to assist staff members in becoming proficient presenters. And of course, the opportunity to practice presenting, whether in simulations or at actual meetings, is extremely valuable. Sometimes staff members are provided the opportunity to deliver reports on more routine items to get their initial experience. Additionally, making a presentation to advisory commissions and committees can be a good way to get initial experience prior to presenting to the governing board.

Style of Presentations

Reasonable consistency among presenters and departments regarding the format and style of presentations is a must. The nature of the presentations should not vary dramatically simply because the staff or department has more or less experience in making such presentations or resources to bring to the effort. As manager, you should set and communicate guidelines regarding presentation length, visual aids, how to respond to questions, and so on.

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Visual aids can be a very valuable component of staff presentations. More complex or detailed ideas can benefit from visual aids such as PowerPoint talking points. Reports with important numbers or statistics can benefit from graphs and charts. Sometimes photographs, computer simulations, maps, and the like can make a significant difference in communicating a message.

Staff Preparedness

Responding to questions can be the most challenging aspect of a staff presentation. Even if everyone does their best to provide questions in advance, unanticipated questions are asked at meetings. The ability of staff to adequately prepare for those questions is critical. Fair or not, the ability of a staff member to respond to questions "on the fly" can determine the policy board's ultimate confidence in the staff's proposal or recommendation.

Working with other staff members to brainstorm potential questions can be very helpful. Likewise, carefully listening to the entire question before responding is critical. A frequent misstep is to start thinking about how to respond to a question prior to having carefully listened to the entire question. How to respond to questions is often the area where the most training and assistance for relatively inexperienced staff members is needed.

It is also important to have agreement among staff regarding who will answer certain questions. Who should respond can often vary depending on the technical nature of the question as well as the level of sensitivity. A manager or department head may feel it is appropriate for one of their staff members to make the presentation, but may reserve the prerogative to respond to certain types of questions if they arise. It is critical for staff members not to come across as defensive or frustrated when responding to questions—even when a question is unfair or asked in a confrontational manner.

When a staff presentation does not go well, it is critical to learn from that experience. What were the factors that contributed to the less-than-successful outcome? What lessons can be learned, where can presentations be improved? Making good staff presentations is not easy and cannot be taken for granted. By making this an area of continuous improvement, you greatly enhance the odds of having a successful meeting.

"Included in the mayor's responsibilities is ***welcoming and managing public input*** and council discussion."

Role of the Mayor or Chair at the Meeting

Another area requiring a clear understanding among the participants is the role of the mayor or chair at meetings. In successful meetings, the manager and the mayor have distinct and complimentary roles.

In most local government organizations, the chair is in charge of running the meeting. In chairing the meeting, the chair leads the governing board through the agenda and manages most aspects of the meeting. The chair maintains decorum and assures that the meeting operates consistent with established policies and protocols. Included in the mayor's responsibilities is welcoming and managing public input and council discussion.

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The effectiveness of the chair in running the meeting is another factor that significantly impacts the success of the meeting. His or her demeanor, preparedness, and professionalism can significantly influence the conduct of the other meeting participants. How the chair runs the meetings also often determines how others view the effectiveness of the meeting.

As manager you play an important role in helping the chair succeed. It's up to you to make sure that the chair has all the information needed to successfully undertake the role of managing the meeting. This includes providing the chair all relevant background information on each agenda topic in a timely fashion. You can also provide meeting management training and offer suggestions on how to handle challenging topics.

Role of the Manager at the Meeting

While the role of managers at governing board meetings varies widely for many reasons, the key common thread is the need for the manager to do whatever he or she can to contribute to a successful meeting.

The combination of the manager's style and the culture/history of the organization shapes quite different roles for the manager from one community to another. For some managers and in some settings, the manager may play a very visible and active role in the meeting. For other managers in other settings, the manager may appear almost like an interested spectator.

"The combination of the manager's style and the culture/history of the organization ***shapes quite different roles for the manager*** from one community to another."

Some managers believe that they should be actively engaged in the meeting with presentations and in discussion with the governing board. Others view their role as being available to either staff or the board as may be necessary to help resolve an issue. In some instances, once the manager has been with an organization long enough to establish confidence in the work of staff, the manager can rely more on those staff members taking on the principle roles in meetings. However, even when the manager prefers staff members to take the lead, the manager may choose to be the lead on particularly critical or sensitive topics.

Some managers believe that their primary contribution to the success of governing board meetings is the work they do in advance of the meeting—including helping prepare the chair, council, and staff. The manager plays a critical role in regard to scheduling agenda items, assuring quality written and verbal staff reports, and crafting well-justified recommendations.

The manager also needs to be available to assist at the meeting—including supporting the mayor, other council members, and the staff. Making suggestions on how to proceed if the council becomes bogged down on an issue can be a particularly valuable contribution to meeting success. Before jumping in,

- Carefully consider if your "intervention" into the discussion among the elected officials would be welcome and how likely it is to be helpful.
- If concerning a controversial issue, carefully consider if your "suggestions or comments" would be viewed as taking sides in support or opposition to one or more of your elected officials.

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- At times it may be sufficient to simply summarize or rephrase what appears to be an evolving consensus.
- There may be times when offering an alternative approach can be welcome.

Managers often view the most successful meetings as those in which they don't need to say anything at all.

> Managers often view the most successful meetings ***as those in which they don't need to say anything at all.***

Letting the Council Decide

One of the biggest decisions for managers is determining that, having done all they reasonably can to assist the governing board on a challenging issue, it is time to disengage. Once the manager and staff have done the research, prepared and presented their recommendation, and responded to questions, it's time to allow the governing board to make its decision—even if its decision seems less than optimal.

It can be a serious mistake for the manager, or an individual staff member, to appear to be unable to "accept no for an answer." Managers need to understand the difference between recommending and advocating versus appearing to be unwilling to accept any conclusion other than the staff recommendation.

Also, continuing to engage once the council is in full debate mode can appear to be actively taking sides, which can be damaging to the council-manager relationship. Managers and staff need to appreciate that it is ultimately the governing board's meeting and the governing board's role to make the final decision.

One of the toughest challenges for professional staff is to be fully accepting of the right in a democratic system for the governing board to make the final decision when staff think, from their professional perspectives, it is the "wrong" decision. Governing boards have the right to make decisions within their authority, even if managers and staff don't agree with them.

After the Meeting

Often what the staff does after the meeting is as important, or even more important, than what it does before the meeting. A meeting debrief provides the opportunity to learn from both the good and the bad experiences. Examining what went well at a successful meeting can build the foundation for future successful meetings. Possibly even more important, examining what did not go well provides the basis for positive change and future meeting success.

Sometimes councils judge staff more by what happens after the meeting than by what happens at the meeting. Does the staff implement decisions not consistent with the staff's recommendations as faithfully and judiciously as it implements those decisions consistent with the staff's recommendations? It can be very damaging to the governing board–staff

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relationship if the staff appears to drag its feet in implementing council decisions or does so in what appears to be a half-hearted manner.

A true test of staff's professionalism is the ability to effectively implement decisions it did not recommend and does not agree with.

When Things Do Not Go Well

All managers will experience meetings that do not go well. This may take the form of staff recommendations not being accepted, staff mistakes, fair or unfair criticism, or hostile conduct by the council or the public. In such cases it is the manager's responsibility not only to see what lessons can potentially be learned but also to set an example for staff on how to respond to a difficult meeting. Whether or not the manager can retain a positive attitude often determines how staff will respond—and how long it may take the staff to "recover."

While as manager you need not serve as an apologist for poor behavior on the part of the governing board or public, you should avoid furthering the negative gloom by appearing negative or overly critical.

Additionally, if the performance of one or more staff members was the cause for a poor outcome, how you deal with the resulting frustration will speak volumes to the staff. While such circumstances require staff learning, accountability, and improvement, how you communicate the lessons will be carefully viewed and probably long remembered by staff. Focusing on improvement likely has a much better long-term payoff than focusing on the frustrating aspects of what has already occurred.

At the end of the day your priority should be on keeping staff focused on a more successful future, not on dwelling on a negative meeting experience.

> A true test of staff's professionalism is ***the ability to effectively implement decisions it did not recommend*** and does not agree with.

The Right Ingredients for Successful Meetings

Many ingredients result in a successful council–manager relationship. One key criterion for judging that relationship is the real and/or perceived success of the governing board's formal meetings. While the manager does not have complete control over the success of these meetings, with careful planning and skilled execution, the odds of success increase significantly, as do the odds for a positive staff–governing board relationship. Never allow disagreements to become personal.

Although no single meeting component is likely to make or break a well-planned meeting, it helps to keep in mind what the invested parties need from each other to come away feeling that the meeting was a valuable use of their time.

- What the staff (and public) need from the governing board:
- An effective and engaged chair
- A commitment to "do the homework"
- Asking questions in advance
- Professional conduct/demeanor

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- Attentive listening
- Respectful/thoughtful deliberation
- Clear direction.
- What the governing board needs from the staff:
- A well-planned agenda
- Complete and professional staff reports
- Anticipation of issues and questions
- Clear and complete staff presentations
- Useful responses to questions
- Well-thought-out recommendations
- Timely follow-through on the meeting's decisions.

Final Word

Perhaps more than anything, understanding your role and your professional and personal investment in conducting a successful meeting can help you appreciate your influence and the affect you will have on others at the meeting. Consider these experience lessons:

- Be realistic regarding expectations.
- Understand that you do not control the entire process or the outcome.
- Realize that democracy in action is often messy.
- Always keep your cool/manage your frustrations.
- Keep issues and feelings in perspective.
- Don't compromise the success of future meetings by your reaction to a difficult meeting.
- After your last meeting, whether it went poorly or great, start focusing on having the best possible NEXT meeting.

KEY NOTES

- While some will judge a meeting simply from the perspective of their agreement with the decisions reached, most will also place high value on how those decisions were reached.
- A board meeting is quite possibly the most prominent venue for judging both individual council member performance and the performance of the council as a whole.
- Rules and protocols are the foundation for the conduct of meetings. Consequently, councils must have buy-in on the need and value of such rules and must be sure that all members are familiar with the protocols.

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- The number, order, and type of issues scheduled in a particular time frame affect how successfully the staff and governing board deal with those issues.
- Many consider an ideal meeting as having a good balance of both routine and significant (more complex and/or controversial) issues.
- Everyone needs to understand who has the authority to initiate the placing of a new item or topic on the meeting agenda.
- With so much riding on the outcome of agenda items, many organizations have set up training programs to assist staff in learning how to write quality staff reports.
- Staff needs to do all it can to anticipate potential questions and be adequately prepared to respond.
- Many organizations view allowing relatively inexperienced staff to make board presentations as part of the organization's responsibility to help staff members grow and develop in their careers.
- Some organizations have training programs specifically designed to assist staff members in becoming proficient presenters.
- Fair or not, the ability of a staff member to respond to questions "on the fly" can determine the board's ultimate confidence in the staff's proposal or recommendation.
- It's up to the manager to make sure that the mayor or chair has all the information needed to successfully undertake the role of managing the meeting.
- A staff meeting debrief provides the opportunity to learn from both the good and the bad experiences.
- A true test of staff's professionalism is the ability to effectively implement decisions it did not recommend and does not agree with.
- Even after a meeting that did not go well, the manager's priority should be on keeping staff focused on a more successful future, not on dwelling on a negative meeting experience.

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Chapter 6

BEST PRACTICE COUNCIL RETREATS

An essential tool for helping councils achieve their goals

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> By ***understanding your own preferences*** and those of your colleagues, . . . you can become more comfortable with the group process. . .

High performance starts with good council direction and the council's articulation of desired outcomes. "If you don't know where you are going, you might not end up there" (the late Yogi Berra's often-quoted observation) is especially true in local government. As discussed in other chapters, the key responsibility and added value of the governing body is to describe the community's future desired state so that the chief administrator can implement the processes and procedures necessary to bring that future state to reality.

One of the best tools for exploring, discussing, and agreeing on these outcomes is a successful council retreat, also sometimes called leadership summit or annual planning session. The nomenclature is not nearly as important as the components associated with them. Together these actions comprise the makings of retreats that serve the governing body, the local government, and the public effectively.

1. **Select a Facilitator**

   In general, using an external facilitator (or at the very least someone other than the chief administrator) to guide the retreat discussion is important. This allows the administrator to fully engage as a participant in the retreat and allows her or him to represent the administrative side of the organization in the discussions. Although almost all chief administrators have the skills necessary to facilitate (and many do it exceptionally well), doing so in this situation can lead to role confusion and put a limit on representation of the "implementing" components.

   If there is neither budget nor appetite for an external facilitator and the manager does need to fill the role of facilitator, it is often helpful at the outset to provide a mechanism (like a hat or placard or a button) to allow the manager to shift roles. Sometimes the manager may need to say, "Speaking now as the county manager, not as the facilitator" in order to be clear about his or her comments.

2. **Develop a Purpose**

   The first step in designing the retreat is simply to articulate what it is you hope to accomplish.

   With newly elected members or with groups that do not function well, it may be that team building and governance process are the key values of the retreat. With tenured or cohesive groups, it may be that long-range visioning, community strategic planning, or thorny issue discussion is most critical. Likewise, in every event it is important to set expectations appropriately. Expecting long-term dysfunction to turn into a love fest in a day and a half is not realistic, although agreeing on and practicing good group dynamics certainly is, and remarkable progress can definitely be made.

   A pre-retreat conversation to establish the desired outcomes needs to include at a minimum both the chief elected and chief appointed official (CAO). Many times the CAO can do this in his or her individual meetings

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with the elected officials, and sometimes it can be done in a work session environment.

Having everyone together for a one-, two-, or three-day event is such an important investment that you want to know going into it everyone's expectations, so that the event can be designed to meet them.

3. **Conduct Pre-Meetings**

   Council members come in all personality types, and not all of them are willing to put difficult issues on the table in front of their peers, especially if there is any fear of reprisals or attacks by colleagues, the media, or the public. Consequently, when it can be afforded and the group is willing, it is always wise to ask the facilitator to meet individually with the participants ahead of time. The facilitator can use the pre-meeting to get to know the individuals, develop some rapport prior to the event, and get a sense of what they hope to accomplish. Often it is possible to structure the agenda such that individuals' key issues are tackled as a matter of course and not as a result of their pushing for it, thus lowering the perceived threat of participation.

   This is also the time to uncover any "bombshells" that might be in the works or unspoken dissatisfactions that might exist. Again, it is much better for the facilitator to know about these issues going into the event so that they can be planned for and defused if possible.

4. **Use a Personality Profiling Instrument**

   Many personality profiling instruments are available: Insights®, DiSC, and MBTI are all popular, and of course folks have their favorites. The key is to recognize that everyone receives, processes, and communicates information differently and most certainly arrives at a decision point differently. By understanding your own preferences and those of your colleagues on the council and staff, you can become more comfortable with the group process and provide a framework and context for appropriate communication.

   It is not unusual for a council to have a member who prefers verbal exchange, one who prefers abbreviated written reports, and still another who wants lengthy chapter and verse (with a Q&A opportunity) on every issue. When the pressure cooker of important decisions on live TV comes into play, it is critical that the team already have a framework for dealing with the resulting discord. While not a panacea, personality profiling provides a common language to use to highlight these differences in a positive fashion.

   Use of a personality profiling instrument has the added advantage of being fun, so it makes a great icebreaker and kickoff to the retreat. And, since groups have "personalities" just as individuals do, it can be very helpful to profile the separate teams involved—elected officials, appointed professional, and staff—to build respect for each and the way each processes information and communicates, as well as for what each values in the communications process.

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5. **Set the Agenda**

   With proper pre-meetings, personality profiles in hand, and, where appropriate, input of the mayor and city or county manager, the facilitator can craft a realistic agenda for the manager's consideration. Because in most environments retreats are open meetings and must be publicly posted as such, it is important that the agenda comply with local standards and yet also reflect where the key energies of the event are intended to be invested. The emphasis here is on realistic. If this is the first retreat for a council and group dynamics are the focus, don't put the community's BHAG (big hairy audacious goals) on the agenda as well. Conversely, with a tenured group with successful dynamics, don't waste this precious offsite time by playing "soft toss"—that is, by building an agenda of items that really don't need much discussion!

6. **Choose the Venue**

   Sometimes elected bodies are able to journey nearby to a dedicated event facility to hold their retreat. These facilities are designed, maintained, and staffed to provide all the amenities needed for everything to run smoothly. However, in-town venues such as hotel meeting spaces, civic centers, and even borrowed corporate or chamber facilities will work just as well. These do often require more effort on the part of staff to arrange and set up.

   Since community values vary significantly, it may be acceptable in some cases to travel to a resort-style environment, while for others, being Spartan is the order of the day. Whatever the decision, make sure the group supports it. Having an elected official choose not to attend because of the venue (especially if that official makes a big deal of it in the press!) generally sabotages the whole affair. Similarly, having elected officials popping in and out so they can take care of their day jobs because it is "just down the street" can be disjoining as well.

7. **Design the Room Setup**

   Group dynamics are strongly influenced by room setup. Think about it this way: If you were going to have an important conversation with your family about a topic that everyone has a stake in, such as where to go on summer vacation, or whether to invest in a pool or a basketball court in the backyard, where would you have that conversation? For some it would be the kitchen or dining room table, or perhaps around the couch, love seat, and recliner in the family room. Almost no one would say, "Well, we would get up on a dais facing an audience so we couldn't see each other's eyes or read their body language." Nor would they say, "Well, we would set up a U-shaped set of tables with uncomfortable wooden chairs with no padding where we sit shoulder to shoulder with no chance of eye contact."

   The point is that almost always making provision for round tables with comfortable seating with room to spread out and observe each other is simply a basic step for good conversation. If, as is often the case,

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presentations need to be made that involve screens and speakers, the round tables can be oriented facing the screen with seating only on three-fourths or even just half of the table.

Comfort is key to keeping folks engaged and committed to a several-hour or multi-day event.

8. Be Thoughtful About Timing

Some councils like their retreats to coincide with elections in order to coalesce the team quickly. Others use retreats to set budget priorities, and therefore like to hold a retreat when the annual revenue picture is clearly seen. Still others use retreats to set manager goals and prefer scheduling the retreat at the end of or first of the calendar year. Of course, a well-designed retreat with a cohesive group will provide some components of all of these purposes, so just about any time is a good time!

Time of day is also a concern for some councils. Many elected officials have other employment, sometimes with limited flexibility, so evenings and weekends are best. Others can make arrangements for vacation or time off, so weekdays are preferable.

Because group dynamics can be interrupted with significant time lapses, holding a retreat across two or three evenings can be more problematic processwise than one continuous event, but again, with the proper commitment, can certainly be made to work.

> “Be careful not to shortchange your consideration of ***who needs to be in the meeting . . .***”

9. Designate the Attendees

The goal of course is 100% council member participation as well as full participation of the chief administrator. Beyond that, the retreat’s objective to some degree determines who else needs to participate. If council team building in the face of ongoing unhealthy behavior is the key desired outcome, then having fewer additional participants is better. None of us like having difficult conversations with observers present. If significant conversation about thorny community issues is on the agenda, then the presence of subject matter experts is certainly helpful. Be careful not to shortchange your consideration of who needs to be in the meeting, given the consequences of inadvertently forgetting to include a necessary participant.

Because in most jurisdictions members of the CAO team—think deputies, assistants, and department heads—are so critical to goal accomplishment, it is often very helpful to have them participate. Their presence has the added advantage of demonstrating the competence and commitment of the organization’s leaders.

As long as there is agreement in advance, not all of the staff team necessarily needs to stay all of the time. Perhaps the team building and some issue conversations are improved with staff’s presence, but the council would feel more comfortable discussing council-staff relations without staff present. This does need to be known ahead of time so that no one feels excluded or gets their feelings hurt by being asked to leave.

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Again, in almost all instances retreats are indeed open meetings, so in many jurisdictions, media or citizen observers may be present. It is also important to decide and direct their involvement in advance. Some communities invite stakeholders to participate on specific issues that will be discussed in the retreat. Others take the position that anyone is allowed to observe, but only the council and staff can participate. Local tradition and the agenda can inform this discussion, but it needs to be announced (usually by the facilitator or chief elected official) at the beginning of the retreat, and then adhered to. If exceptions are made, undoubtedly the folks to whom the privilege is not granted will feel disregarded or even insulted, so being consistent is paramount.

> Be sure to ***convey the success*** [of the retreat] to your team.

10. Carefully Design the Follow-up

Congratulations! All the planning, advance work, and attention to logistics paid off, and your retreat was a resounding success. The personality profiles were a big hit, and in fact the council asked that council members' descriptors be located at their workshop venues as reminders of their importance in communication. Thanks to your excellent facilitator, the elected members came home with a more complete understanding of their role in the governance process; an added bonus was that a handful of challenging community and organizational issues were successfully addressed.

You and your staff were fully prepared and garnered significant accolades for your performance. Now, with the event behind you, you take a deep breath and get ready to finally get back to some of those vital things you have been putting off while making sure the retreat came off without a hitch.

But before you do, be sure to convey the success to your team. (Also see "When Things Go Wrong" elsewhere in this book.) Several of your key staff were present at the retreat and saw your achievements and the council's hard work firsthand, but most members of your organization were not there. Because the retreat outcomes also have an impact on the professional futures of all staff, it makes sense to quickly convey to the broader team the sense of success, energy, and cohesiveness that was achieved. A timely organizational communication of some sort is absolutely in order, whether it is in person, by podcast, blog, e-mail, or good old memo.

Remember, if staff members don't know what really happened, they will make it up (and generally not in the most positive light), so this additional immediate investment pays big dividends in terms of the organization capturing the positive momentum created by its leaders.

11. Conduct a Debrief

While you are at it, borrow a valuable process from our military commanders and convene an AAR (after action review) session with your core team within the first week you are back, before the pressures of the daily grind cause the glow to fade. What went well,

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what especially resonated with the council, what needs to be tweaked for next year? What new insights about individuals, the team, and each other did you gain?

Be sure to capture the AAR logistical learnings in writing and keep them handy for next year. It will be here in the blink of an eye, and being able to quickly review what worked and what needs to be modified will get you ahead of the curve next time around. In fact, if your future retreat schedule is sufficiently set—even within a few-week range—go ahead and get on your facilitator's and venue's tentative calendars right now. Presuming that either or both will be available on short notice can be problematic.

Ask your facilitator to weigh in on the AAR issues as well. He or she will come in contact with dozens or hundreds of elected officials from multiple jurisdictions in many different venues throughout the year, and while observing client confidentiality, the facilitator can use that experience to help you decipher behaviors and comments. If you are comfortable doing so, this is also an opportune time to ask the facilitator for personal feedback. "What advice do you have for me?" is a great question.

> "In extreme cases of bad behavior [at a retreat], ***immediate intervention . . .*** may be needed."

12. Do Damage Control If Necessary

Occasionally, hopefully very occasionally, feelings can be hurt or relationships damaged during a council retreat. For members of council, allowing oneself to be vulnerable during personality profiling or visioning provides another member the opportunity to take advantage or seek leverage. In these cases, it is critical to act quickly to keep the transgression from poisoning the exercise, or even the entire relationship. In extreme cases of bad behavior, immediate intervention or perhaps follow-up mediation or team building may be needed. Certainly, the facilitator should help navigate these minefields and provide good counsel on how to repair fractures.

If members of staff feel attacked, undervalued, diminished, or undermined as a result of the retreat, it may be necessary for the manager to interpret these emotions and help process them. Emotional states are hugely significant in your work life, and the savvy manager keeps his or her finger on this pulse.

Maintaining composure and dignity at all times is certainly a hallmark of the professional, and if in a truly worst case scenario the manager finds that he or she is on the receiving end of attacks or vitriol, responding calmly and appropriately helps maintain the proper environment for the retreat.

Like an infection or nagging injury, ignoring any of these problems does not help it go away. In fact, addressing any of them in the moment, or as soon as possible, is typically the best course of action. While perhaps unpleasant and even perilous, being willing to take this risk demonstrates the poise and professionalism of the manager.

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13. Delegate the Follow-up

Convene another session right after the retreat to effectively delegate quick follow-up actions to the appropriate departments and individuals. Council members will remember their key issues and any broad direction given, so be sure to have a process to provide feedback to council members on what you are doing. This sends the correct message that you highly value their participation and involvement. Any low-hanging fruit should be quickly harvested and the harder stuff put in process.

Now is also the time to do any appropriate resource reprioritization. Especially in these challenging times, there is little to no organizational "slack," so if the retreat resulted in additional outcomes (as they almost always do!), be sure to let your staff know what priorities can be shifted. It is far better to do the critical things well and some things not at all, than to do everything poorly.

SIDEBAR

RETREAT CHECKLISTS

Pre-Retreat Checklist

- Select a facilitator
- Develop key purpose
- Conduct pre-meetings
- Select personality profile instrument (facilitator to administer)
- Develop agenda and meeting day(s) schedule
- Select venue and designate room set-up
- Designate attendees

Post-Retreat Checklist

- Organizational communication
- Event AAR (After Action Review) and logistics capture
- Tentative schedule for next year
- Facilitator debrief
- Low-hanging fruit harvest
- Outcome delegation
- Reprioritization
- Council feedback
- Use of what you learned

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14. Convey the Delegation

Be sure to provide the council with synopses of these actions. They will appreciate knowing that their time was well spent and valued appropriately and will be much more likely to be willing to invest in additional sessions in the future.

Finally, leverage your success with appropriately frequent reminders of the retreat with the council as well as staff. "Remember at the retreat when we agreed . . ." or, "Recall that my personality profile says I love analysis, so bear with me while I . . ." gives everyone a sense of connectedness back to the event and process and helps keep the jackpot flowing.

KEY NOTES

- You want to know going into a retreat everyone's expectations, so that the event can be designed to meet them.
- This is also the time to uncover any "bombshells" that might be in the works or unspoken dissatisfactions that might exist so that they can be planned for and defused if possible.
- While not a panacea, personality profiling provides a common language to use to highlight differences among retreat participants in a positive fashion.
- Group dynamics are strongly influenced by room setup. Making provision for round tables with comfortable seating, with room to spread out and observe each other, is simply a basic step for enabling good conversation.
- Comfort is key to keeping folks engaged and committed to a several-hour or multi-day event.
- The goal of course is to have 100% council member participation as well as full participation of the chief administrator. Beyond that, the retreat's objective to some degree determines who else needs to participate.
- Be careful not to short change your consideration of who needs to be in the meeting, given the consequences of inadvertently forgetting to include a necessary participant.
- Retreats are typically open meetings, so media or citizen observers may be present. It is important to decide and direct their involvement in advance.

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- Because the retreat outcomes have an impact on the professional futures of all staff, it's important to quickly convey to the broader team the sense of success, energy, and cohesiveness that was achieved.
- As part of your meeting debrief, ask the facilitator for personal feedback. "What advice do you have for me?" is a great question.
- Any low-hanging fruit from the retreat outcomes should be quickly harvested and the harder stuff put in process.
- If the retreat resulted in additional, new outcomes (as they almost always do!), be sure to let your staff know what priorities can be shifted to address these.

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Chapter 7

WHEN THINGS GO WRONG

Learning how to manage the bumps in the road

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> . . . when you live your life in ***the fishbowl of public administration,*** sometimes things just don't work out the way you want them to.

I first heard the maxim "One minute you are on top of the world, and the next minute the world is on top of you" from Buford Watson, ICMA's president in 1986. His point of course was that in the local government world you can be doing everything right—living the code of ethics, communicating relentlessly, implementing good governance, even managing inspirationally—and things can still go wrong.

Think of great managers—the mentors, teachers, and pundits in our world—who have wound up "in transition" after a council election. Think of sincere, hard-working professionals whom you know who are embroiled in a controversy not of their own making. Think of that colleague who poured his or her heart and soul into a community only to be shown the door based on groundless accusations.

Whether it is a dissident elected official, that rogue department head, the unscrupulous community activist, the reputation-seeking journalist, or even just being in the wrong place at the wrong time, the simple fact is that when you live your life in the fishbowl of public administration, sometimes things just don't work out the way you want them to.

With that said, there are things you can do to try to prevent these occurrences and some steps you can take to deal with them forthrightly when they do occur. While this chapter can't address every possible challenge, here are some of the more common ones.

The "Bad Apple" Governing Body Member

While ICMA surveys show that in general most local government managers feel that they have "good or excellent" relationships with their governing bodies, that rating is not uniform for all members of a council or governing body. In fact, the anecdotes and stories associated with the difficult council member are pervasive.

- These "bad apple" elected officials
- Treat every staff presentation as an inquisition
- Routinely disclose confidential information to the media
- Spend all their time on minutia and miss the big picture completely
- Are never prepared for the meeting and regularly ask questions that were answered in the council or board packet
- Are never willing to bring closure and always want more information before they vote
- Refuse to abide by the meeting rules of order
- Circumvent the administrator, going instead to internal staff, including even the assistant or assistant to
- Are always trying to make staff (and the chief administrator) look bad.

In addition, the bad behavior of these members also has a tendency to negatively impact the other members of the governing body.

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Since these behaviors largely fall in the governance arena, the best case scenario is that the manager doesn't have to be involved in disciplining governing body behavior at all. The mayor or the most senior or most influential member can take the repeat offender aside and help that person see "the good governance light."

Ideally you have with your board or council some agreement on good governance behaviors as discussed in the governance chapter in this publication. Also ideally, these behaviors have been codified to some extent and were put in place before the disruptive member came on board. Putting good governance procedures in place when councils are supportive may sound unnecessary. "They already govern well, why push process on them?" is a common refrain. But just as negotiating your employment agreement when everyone is on good terms makes sense, so does developing the council process manual when the group is cohesive and cordial.

In reality, though, the brunt of the challenging behavior is directed at the administrator and/or staff, and so logically some of the intervention does involve the chief administrator as well. Here are some strategies that often work.

- **Meet with the member individually.** This one-on-one meeting—preferably in a location where the elected member feels comfortable—is designed to accomplish several things. It demonstrates the administrator's approachability and professionalism. It helps build, or starts to build, a relationship. It starts to educate the elected official on the roles and responsibilities of his or her office. (Remember, most elected officials have no formal training in governance and may have picked up bad habits or bad information traveling their board journey.) And, it informs the administrator as to motives, concerns, and objectives.

  Often just the engaging bears good fruit as the elected official determines that the administrator is as fully invested in the success of the organization and the community as the official is. With this common ground of common interest, rhetoric can be toned down and progress reinstated.
- **Use personality profiling tools.** In addition to experiencing the value of using personality profiling tools with individuals and with groups (as described in "Best Practice Council Retreats" elsewhere in this book), learning about profiling tools can inform both the elected official and the administrator about techniques to communicate well with each other. Since different skills and talents are often rewarded or applied differently in the unique spheres of elected and appointed office, it sometimes take conscious, determined effort and solid techniques to bridge between those spheres, particularly when friction already exists. Using personality profiling tools is not a panacea, but certainly provides additional mechanisms to forge communication links and build trust.

> Remember, most elected officials have ***no formal training*** in governance..

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Think of it as a mutual language that can be used without emotion or bias to describe personal behaviors in a nonthreatening way. "I bet that's your 'D' coming out" is much less threatening to hear than, "You act like you have to control every situation."

- **Accommodate the member when possible and when it is not unethical or unduly burdensome to do so.** Interest-based negotiating teaches you that it is always valuable to look beyond the words used by the difficult council member to try to understand what that person truly hopes to gain or accomplish. Getting past the bombastic rhetoric to desired outcomes is often a path to accommodation. Fulfilling campaign promises or being responsive to constituent requests is political currency for the elected official, and sometimes these are easy win-

SIDEBAR

EXPERIENCE IS A GOOD TEACHER

A highly regarded and well-tenured manager recently shared her story with us. "After a nice run of supportive councils, we had several new members as a result of term limits. Most of these were willing to learn and acknowledged the work that their predecessors had done. One, however, began almost immediately to complain about the police department—especially his perception that there was a lack of trust and engagement with the minority community, and that minorities were disproportionately stopped and searched. In his opinion we were 'profiling.'

"We compiled and shared reams of statistics, charts, graphs, and reports to prove that this was not the case, but the member just kept getting louder and more strident in tone.

"Finally, after several meetings with me and with the police chief, I invited the member to accompany me on a ride-along with our midnight shift commander to observe firsthand what the officers were experiencing. As luck would have it, we were dispatched to a loud-music call in the council member's district, and he was able to experience up close the challenges associated with policing a large group of people, several of whom appeared to be under the influence of something.

"Fortunately our officers handled the encounter professionally and cordially and were able to convince the host to lower the volume and keep the party under control.

"This was a real eye-opener for the member, and as a result he signed up for and attended our Citizen's Police Academy, and over the next year or two became one of the police department's biggest supporters.

"I am convinced that the personal touch of meeting with him, supplying him with data, and most importantly, sharing the ride-along with him gave me personally, as well as the city, the credibility we needed to have in order to educate this member."

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wins for the administrator and the elected official. Within the latitude of organizational resources, it is amazing how much rapport you can build by accommodating the elected official (while not compromising ethical or mission-critical components).

However, it is not unusual for elected officials to make promises or state positions that they find later they cannot fulfill or sustain. Either out of honest intent or campaign expediency, some candidates for office make commitments and promises that are virtually impossible to fulfill within legal or budgetary constraints. Add in even just a little reluctance from the incumbent tenured members and you have a recipe for confrontation when the election is over and the new member wants to advance his or her commitment. Unfortunately, delivering the bad news about the law or the money often falls to the administrator, and we all know what happens to the messenger.

As you meet with the member, let the member know that your goal is to help her or him be successful within the confines of the rules and resources available. Ask questions. Come prepared with alternatives or compromises. If this process works, and it often does, you can help create a valuable governing body member.

- **Enlist an ally or two.** When you've met with a difficult member to no avail, then the next step is to try the "two-on-one" approach. Is there a mutually trusted individual within the community whom you can recruit to help in the conversation? Perhaps the mayor can fill this role if perceived as fair by the new member. Again, this is a time to listen and let your partner probe. It is a time to educate and inform, not to threaten or issue ultimatums.

  If this approach does not work, then the "more" component may be needed. More is simply more. Typically the new member is influenced by two or three or four individuals. Often in the face of wise counsel from others besides the administrator, the new member will put forth or accept a compromise without tagging the administrator as an obstructionist.

  For this approach to be successful, you need to

  - **Assure the member** that you work for the council as a whole and intend to follow its majority direction expeditiously.
  - **Be as responsive and transparent as possible.**
  - **Stay calm and recognize it isn't personal.** The member would be acting this way irrespective of who sits in the manager's seat.
  - **Make sure your staff is truly prepared.** If this means practice sessions, extra packet review, or utilizing more senior members for council appearances, be willing to invest resources in flawless presentations.
  - **Reach out even more.** If this means a special one-on-one review of the agenda, it would be worth it to protect staff.

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- **Determine if there are individuals** or institutions in the broader community **who might be influential** with the inquisitor and approach them for assistance.
- **Remain professional at all times.** While it is tempting to use the inquisitor's tactics against him, that simply reflects badly on the manager, the staff, and the community and emboldens the questioner.
- **Be patient.** The emotional energy required to behave as an inquisitor and the lack of substantive response often result in short tenures for disruptive members.
- **Respect democracy.** Like it or not (especially not!), the inquisitor is elected and must be accorded the respect of the office.

Extreme cases of council members who cross a code-of-conduct—and even legal—line do, unfortunately, exist. One such instance is presented in detail in the case study ("[Year 2002] Councilmanic Interference: When a Council Member Crosses the Line") at the end of this chapter.

SIDEBAR

THE ONE, TWO, MORE COMMUNICATION APPROACH

Not long ago, a city manager friend told a story about the candidate who used an employee union-sponsored forum in a neighborhood community center to announce his pledge to double the number of youth sports fields in the adjacent park within the first year of his term. Unbeknownst to the candidate, of course, additional fields were an impossibility in that location due to local and federal floodway regulations.

The staff members' hope that this pledge would be quietly forgotten was dashed when at the swearing-in ceremony, the now newly elected official reiterated it on live TV and gave a "first 100 days" list to the city manager.

In trying to educate the new member about the regulations, my friend was told, "I gave my word on this one. You are either with me or against me. It's a litmus test. What's it going to be?"

Fortunately my friend used the just-described "one, two, more" approach for this difficult conversation, starting with a one-on-one meeting to communicate that his goal is to help the council member be successful within the confines of the rules and resources available.

Ultimately the manager invoked the "more" component. To repeat: More is simply more. Ideally, there are two or three or four individuals who can exert influence on the new member.

It was at this stage that my friend's new official finally accepted the fact that the fields couldn't happen where he had envisioned, and he opened up to the possibility of a bond issue for parks, which ultimately passed!

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Undermining by Staff

As a new manager one of your first challenges is to gain the support of your own staff. While the vast majority of the senior team members you might encounter are professionals in their own right, and recognize the legitimacy of the selection of the administrator by the governing body, occasionally a member of your own team will be the source of pushback or even outright insubordination. This can take the form of subtle behaviors or, if the staff member feels emboldened, out-and-out overt disobedience. These individuals may approach one or more council members directly, leading to the manager being taken by surprise by those members. These back channels can be ripe for incorrect or incomplete information, again leading to discomfort for the manager.

Here are some steps you can take to create an environment supportive of open communication and trust at the same time that it does not accept destructive or irresponsible behaviors.

- **Build rapport.** Beginning immediately after taking the reins, reach out to each staff person, connecting with them personally and helping them understand how the administrator operates is always one of the first orders of business when newly appointed. Continuing to communicate values, levels of performance expected, and support provided is also critical—especially since initially the new administrator is likely "drinking from the fire hose" trying to get to know the community and the governing body as well as the staff.
- **Respect legitimate professional disagreement.** Since professional staff members are often highly trained and highly skilled in their fields of expertise, it is critical that their recommendations and positions be fully appreciated. Even if the administrator has a background as an engineer, planner, or public safety professional, disagreements about a recommendation or direction need to be addressed early on and fully discussed. Helping staff appreciate that it is okay to disagree internally up until the manager conveys a final direction helps keep everyone in the conversation and legitimizes their contributions.
- **Convey expectations.** Staff members need to know that the team moves forward together and that the administrator will support them in difficult times. They also need to know that after all the conversations, debates, and disagreements, once a decision is made on how to proceed, they are expected to be fully on board. This is very similar to the administrator's commitment to the governing body that once a vote is taken, the administrator fully supports the majority position. The administrator needs to be clear that no exceptions to this behavior will be tolerated.
- **Hold staff accountable.** The old adage that the behavior you tolerate from your weakest member becomes the standard for all members continues to be true. If the administrator allows any member of the team to act in a manner contrary to the team, then all other members of the

> [Staff] also need to know that . . . ***once a decision is made*** on how to proceed, they are expected to be fully on board.

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team wonder if the administrator really means what he or she says. This may require being willing to confront a bully or a passive-aggressive individual, and when such confrontation is necessary, it is better to do it sooner rather than later.

- **Sever dysfunctional relations and bad matches.** Sometimes, after all the conversations, team building, and accommodations, it becomes clear that the "fit" with a staff member simply isn't there. To protect the integrity and unity of the team, it is simply necessary to acknowledge this and move on professionally. While each community is different, this may simply mean giving the staff member the opportunity to find another position, negotiating a severance, or at the end of the day terminating her or his employment.

None of these options is fun, and can be hugely stressful for all involved. Nonetheless, when a bad situation is allowed to linger, the cancer can spread to other parts of the organization. People start taking sides, and

SIDEBAR

ADDRESSING PROBLEMATIC SITUATIONS OR INDIVIDUALS

Change is hard, and most managers have experienced the worry on the part of their new staff team when moving to a new community. "Is my job on the line?" "Will there be a reorganization?" "Will I lose stature?" are all common concerns. "Will you finally address the misbehavior of one of the team members?" is less common, certainly less verbalized, but perhaps even more closely watched.

One manager put it this way: "While doing my first-month workplace visits and conducting my first series of staff meetings, I was struck by the aggressive behavior of one of the senior members of the team. The fact that this individual was in charge of our large utility operation had given him great influence, and while he was technically competent, I was extremely put off by his personal behavior.

"After several meetings trying to ameliorate his abrasiveness (and in my view, his bullying), I finally gave him an ultimatum, 'my way or the highway.'

"The individual chose to leave, and we did it professionally and even cordially. You could almost feel the collective sigh of relief from the department, and even from the other departments.

"One of the key staff members stopped by my office to share that he was enjoying his job more than he had in years and remarked, 'We had been treated that way for so long, we had forgotten what it was to be respected.'"

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if no action is taken, the team can actually cease to be one, with people retreating into silos or building their own safety zones.

While a generalization, and so subject to the errors of generalizing, most people in the organization will prefer clearly communicated decisive action, even if they disagree with it, over the confusion and misunderstandings associated with tolerating insubordination.

The Organizational Misstep

Despite all best efforts, mistakes are sometimes made. In fact, with the rate of innovation necessary to be successful in local government today, mistakes are inevitable. They need to be mistakes of good intention, not ineptitude, reflective of a desire to serve and certainly not malfeasance. The key to surviving and even getting stronger through mistakes is to acknowledge them quickly, determine what went wrong, adjust the behavior or the system, and rectify them if possible.

Hiding, obfuscating, or denying mistakes is a recipe for disaster. Presume that all will be known eventually, likely on the front page, as it were. Your best bet is to get out ahead of the ugliness and deliver the bad news yourself. The governing body and the community may still be angry, but they at least will not feel betrayed. As contrary as it sounds, the administrator often gains, rather than loses, respect by being willing to acknowledge mistakes.

> As contrary as it sounds, the administrator ***often gains, rather than loses,*** respect by being willing to acknowledge mistakes.

The message becomes that innovation requires risk taking. Not wild gambles but calculated risks. For innovation to occur, staff must risk money, other resources such as time, and their reputations. Most importantly, they must risk mistakes and likely criticism. Staff will not innovate when any misstep or mistake is criticized by top management or elected officials. Instead, they will try to make any recommendation or proposal perfect with no chance of failure before trying it out. Unless the administrator can create an environment that encourages "smart risks," there will be little if any innovation regardless of how much innovation is desired by the council. (See "Strategies to Help Board Members Support Smart Risks" sidebar in the chapter on governance.)

The CEO Risk

Trust is a foundational component of leadership. Author Stephen Covey's concept of an "emotional bank account" remains valid. His concept is about cultivating the habit of always doing the right thing no matter the circumstances in order to make deposits into a "trust account." That way, when something challenging happens, you have earned the right to the benefit of the doubt.

In local government so many things can go wrong: a bad law enforcement encounter, a missed test for environmental compliance, a critical audit, an internal theft, an organizational misbehavior. It is always painful to admit that results were less than hoped for or that a member of the team

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transgressed a boundary, but doing so quickly and voluntarily keeps the rumor mill more quiet than it would otherwise be, and it sets the foundation that the administrator has nothing to hide.

In fact, in local government administrators can become embroiled in controversies absolutely not of their own or the organization's making. Weather disasters, mass casualty events, diversity issues, economic issues, indiscretions by governing body members, and other types of calamities somehow seem to find their way to the administrator's doorstep.

> Almost always, openness is ***the best course of action.***

Almost always, openness is the best course of action. If indeed the local government mis-stepped in its behaviors or in its response to another's behavior, being fully forthcoming often calms the storm. The governing body, the media, the stakeholders, and affected parties can see the transparency for themselves.

Admittedly being open is not always the first choice of your advisors. Sometimes the legal team or law enforcement team will advocate to maintain confidentiality, and this must be judiciously evaluated and respected. However, when facts are not shared, fabrications are often made, and rarely to the benefit of the administrator or organization. Unless it is absolutely illegal or imprudent to do so, being transparent often short-circuits the rumor mill or media frenzy.

Additionally, communicating relentlessly is even more important in the face of crisis or disaster. Governing body members have an inherent aversion to being surprised with information from other sources, so you must keep them fully in the loop. Remember that anything written can be (and likely will be) shared, so if it is indeed confidential, verbal communication is best. Don't sugarcoat or make excuses. Provide facts, timelines, and courses of action and address questions. There will be time later to assign blame; the key at this juncture is to address what can be addressed, deal with the immediate, and mitigate damage.

Being Placed in Transition

Being in transition is one of the unpleasant components of our profession. Whether it is a governing body change, a difference in styles, or being made a scapegoat, sometimes an administrator is forced to move on. Ideally a previously negotiated employment agreement is in place that sets forth the parameters of such a transition and, also ideally, the governing body is willing to honor the agreement. ICMA is a prodigious resource for these agreements (see ICMA's Model Employment Agreement). Colleagues in your state or region are also great resources for what is common or acceptable in agreements in your distinctive geographic (and political) environment. Most are very willing to share their agreements (likely they are public information anyway) and, more importantly, to tell the stories associated with negotiating key provisions.

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Additionally, several states associations (e.g., the Texas City Management Association) maintain relationships with legal counsel who are well versed in public agreements and can be counted on to advise their members.

When faced with transition,

- **Always take the high road.** Anything said in anger or in hurt will likely be regretted later, so stay generous in your comments and your behaviors.
- **Take care of your family.** Spouses and children, parents and friends often become collateral damage in transitions. They have little to no control and feel the same anger and fear that the administrator does, without the ability to impact the circumstances. Make sure you are communicating as much with them as you ever did with your governing body. Demonstrating your confidence (even if you don't feel it yourself) while acknowledging honestly the challenges helps alleviate their anxiety.
- **Reach out to colleagues.** No one can appreciate your circumstances as much as someone who has traveled your path. While it may seem that "everyone knows," the fact is that everyone is as busy with their own lives and communities as you have been, so they may in fact be surprised—and chagrined—that they did not know and had not reached out to you.
- **Utilize the services of ICMA.** This is the time to be more open to assistance, not less. Attending a regional summit or ICMA's annual conference is a way to recharge batteries, reconnect with the underlying mission of local government, and expand your network. You can also expand your network by actively engaging in the Knowledge Network.
- **Accept the phone calls of folks you don't know.** Again, the natural tendency after an upset of this nature is to withdraw or become reclusive. The profession has formal resources (senior advisors, managers-in-transition programs, etc.) and also informal ones. Many members provide short-term opportunities, paid and even unpaid, that keep you in the loop, fill voids in resumes, and help you feel productive. These may in fact come from folks you do not know but who are in your circle of influence.
- **Stay focused on your job—which is getting another job.** Again, ICMA has multiple career resources to assist you in this arena.

Local government administration is a noble calling, even when things seem to be going wrong. It is in the face of truly difficult challenges that you can best model the behaviors that set professional managers and administrators apart. In order to fulfill your calling, build trust and be trustworthy. Never compromise your ethics for expediency. Communicate relentlessly. Be transparent. Practice patience. Be persistent and predictable in your pursuit of excellence. Recognize that as painful as it is, you do serve at the

> No one can appreciate your circumstances as much as someone who has ***traveled your path.***

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pleasure of the governing body and that upsets do occur. Reach out to your colleagues. Make the most of the services of ICMA. Stay positive.

In many cases things will work out. Even if they don't, observers will look at your behavior and recognize the professionalism!

CASE STUDY

[Year 2002] Councilmanic Interference: When a Council Member Crosses the Line

By Kevin C. Duggan

Adapted from the July 2006 issue (volume 88, number 6) of Public Management *magazine, a special issue edited by John Nalbandian and Shannon Portillo. Copyright © 2006 by ICMA. Duggan was the city manager of Mountain View, California, when he wrote this case study.*

2006 Nalbandian/Portillo comment: *This article reflects the core strength of council-manager government and the ethical commitments of professional local government managers. . . . We highlight two points in this article. First is the enduring obligation of a professional city manager to promote good government. Second, we see in Duggan's strategy the way the relationship between the manager and the council has evolved into a partnership. Although Duggan took the lead, the council's support—even if silent—cannot be discounted.*

Of all the things I thought I would encounter in my career, testifying in front of a grand jury and then a superior court jury on the history and purpose of the council-manager form of government and on how a council member had violated it, was not one of them. This is the story of a city manager dealing with one of the most challenging professional experiences imaginable—reporting a council member for misconduct.

Those of us who have chosen the profession of local government management recognize that establishing and maintaining effective working relationships with council members can be among our most important and challenging responsibilities. I never anticipated, however, that the issue of a council member's attempts to thwart the principles of the council-manager form would become one of the toughest episodes in my own professional life.

Any of us who have been in this business for any length of time have encountered a few council members who choose to "push the envelope" in influencing the administrative/management side of local government. Always, I have tried to avoid the politicalization of basic local government services while understanding that council members must be informed about and relate to some of the nonpolicy aspects of governing.

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In most cases, we can find a reasonable balance. Even when a council member clearly crosses over into the area of a n inappropriate attempt to influence staff's administrative responsibilities, the issue can generally be resolved through the manager's diplomatic yet clear explanation of the problems being caused. Often, council members do not fully understand the impact that they are having on staff and will commit themselves to taking a different approach once they do. I also believe that most of us in our profession pride ourselves on helping council members succeed in their roles and "keeping them out of trouble" when necessary.

This story is about what happened when the above-noted techniques did not work and a manager was faced with a tough choice between undesirable options. In this particular case, the impasse resulted in a decision by the city attorney and myself to report a council member's (the then-mayor's) misconduct to the district attorney. And this move eventually resulted in the council member's removal from office.

A byproduct of the decision was an attempt by this council member and his attorney to put the management of the organization on trial, together with, effectively, the council-manager form of government.

The Problem

While issues concerning the council member's conduct came to a head early in his second four-year term, problems with his conduct manifested themselves earlier in his tenure.

Understanding that Mountain View is in the middle of Silicon Valley but that the community's heritage is farming, it's helpful to know that the difficult council member came from a longtime local farming family, had longstanding ties to the community, and ran on the platform that he would be a "neighborhood cou ncil member."

Though he had a rather direct interpersonal style, the first year or two of his first term were without major stumbling blocks. Then, a series of increasingly problematic behaviors brought the "councilmanic interference" issue to a peak during the latter part of his first term and the early part of his second term.

Among the behavior patterns and actions that were problematic were:

- Directly contacting staff at various levels of the organization suggesting, and sometimes demanding, certain things be done or not done.
- Displays of anger and temper directed at staff members at various levels of the organization.
- Attempting to influence code enforcement activities on properties near his home, including some properties he wanted to buy for personal or family financial gain.
- Communicating the clear expectation that he was entitled to rights and privileges above and apart from other residents because he was "a member of the city family."

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Among the incidents that got the most exposure in the press, once the grand jury had issued "accusations" in this case, were these:

- A demand that the police chief be fired for not giving him advance warning of a search warrant to be served on his home as part of a criminal investigation of a family member.
- An order to code enforcement staff to pursue action against a neighboring property owner whose property he wished to acquire.
- Refusal to pay for the replacement of a fire hydrant destroyed by a family member, and outrage displayed when he was billed for the damage.
- Numerous questionable city-charged expenses, including the purchase of a $700 tuxedo.
- A confrontation with the building official, in which the council member demanded that a multimillion dollar, private construction project be shut down immediately because he thought the construction crane being used was unsafe and that the developer was too influential in the community.

As if the actions described above were not enough, the incidents that brought the interference issue to a crisis were his demands that staff block the development of a property he wished to acquire, immediately adjacent to property already owned by his family. He made it clear that he would see to it that both the planning director and I would be fired if the project were not blocked.

The conclusion that the situation was hopeless came when he asked me into his office one afternoon (while serving his one-year term as mayor) and told me that conditions needed to be placed on the development of the property in question. His aims were to discourage the current owner from proceeding, to lower the value of the property, and to increase the likelihood that the property owner would be willing to sell to him! Interestingly enough, this meeting took place just four hours before my annual council performance evaluation. The implication was clear: how I responded to his demands would influence his approach to my performance evaluation.

Investigation and Trial

Throughout the period of this conduct, both the city attorney and I met individually with this council member many times in attempts to correct and modify his behavior. At first, we hoped that our efforts to inform him of the problems and likely consequences of his conduct were succeeding. In one case, when his belligerence had been directed at another council employee—the city clerk—the council was informed of his conduct and intervened to prevent a recurrence.

I even used my closed-session performance evaluation meetings as opportunities to express to the council the increasing need I felt to take action over the improper conduct of a council member because of the impact his behavior was having on my ability to carry out my responsibilities.

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My goals were to modify the behavior and specifically to protect staff from his attempts to influence their work through confidential, one-on-one meetings. (He recognized the damage that would accrue to the city, the council, and the staff if the matters discussed in the private meetings had to be dealt with publicly.)

Reporting the Conduct

When it became apparent that his inappropriate behavior was escalating, that it had crossed legal lines, and that staff could not be shielded from his conduct, the city attorney and I concurred in a decision to report the conduct to an appropriate authority, regardless of the consequences. While we understood that it was not our role to determine what should be the outcome of any investigation, we felt we were obligated to disclose that the conduct was occurring.

The city attorney and I expected that the day would come when we could not adequately mitigate this conduct. We believed our recourse would likely be to report the conduct to the rest of the council. Because the conduct had become so severe and the legal implications so serious, however, we decided that referring the matter to the district attorney was an option that needed to be considered.

One of the drawbacks of referring the matter to the council was that this move would require that accusations be made public prior to an independent investigation. Because of the "sunshine" laws in California, the council would have to consider the allegations in open session.

Additionally, any such investigation begun by the council would likely have been seen as politically motivated by this council member and his supporters. After consulting with two other council members and the vice mayor (because the council member in question was mayor), we decided that the city attorney would consult with the district attorney of Santa Clara County. Each council member, including the mayor, was notified of this referral.

District Attorney Investigation

Based on his independent review of the facts, the district attorney chose to investigate the matter. Surprisingly, during the five-month investigation, this activity did not leak to the press. Needless to say, we found it extremely awkward working with the mayor during this period; also, many city employees had to be interviewed by a district-attorney investigator as part of the probe.

While the district attorney considered filing criminal charges on a number of counts, he finally determined to charge the mayor under a little-known and rarely used provision of California state law that provides for the removal from office of an elected official for misconduct. This procedure requires that a grand jury find sufficient basis for "accusations" to be filed against the elected official, then for a superior court jury to find the elected official guilty on the same standard of proof as required for a criminal conviction (unanimous agreement "beyond a reasonable doubt").

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Grand Jury Proceedings

What followed were the closed grand jury proceedings, which involved the testimony of several city employees. In my case, testimony included an extensive explanation of the council-manager form of government and its adoption in the city charter.

One month later, the grand jury issued its "accusations" against the mayor for corruption and willful misconduct. The grand jury transcript also was released, detailing all the instances of misconduct. Next came a media frenzy that covered the entire San Francisco Bay area. Living through this media blitz and being personally featured in the coverage were unpleasant experiences for me and for other staff members.

Council Member's Accusatory Defense

Anticipating the action of the grand jury, the mayor already had hired one of the most high-powered defense attorneys in Santa Clara County, who immediately began his media campaign to question the motivation of the mayor's chief accusers, namely, the city attorney and myself. The mayor also had used the period of the investigation to prepare his key supporters to take the offensive. The "spin" was that the city manager and city attorney were out to "get" the mayor for a variety of reasons, ranging from our desire to control city government to our fear for our jobs, as he claimed that he had been critical of our performance. However, no such criticism was ever evident to us, either within or outside the context of our annual performance evaluations.

Of particular note was the premise of the defense attorney that, since council-manager government did not allow this council member to directly intervene in the organization on behalf of his constituents, he could simply ignore the city charter and its council -manager provisions in order to address citizen concerns.

This attorney also suggested that, since some communication and contact with city staff are permitted, primarily to respond to routine inquiries, there had been no clear demarcation line to determine "councilmanic interference."

Meanwhile, the mayor was able to pack one council meeting with supporters who made it clear that they felt he was being unjustly prosecuted. For the first time in my career, I had members of the public saying the city attorney and I should resign for overreacting to the mayor's behavior. Not only was it evident that the mayor was not going to resign, but also that he was going to fight the charges vigorously and accuse his accusers in the process.

Media Blitz

For a manager who prefers a low-profile approach to city management, this was quite a turn of events. What ensued was four months of media coverage leading up to the public trial. Having my own integrity and job security challenged in the media by the mayor's attorney and supporters was to me particularly frustrating. The councilor's (through the normal rotation pro-

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cess, he was again a council member at the time of the trial) legal defense strategy was to put his accusers on trial.

During the lead-up to the trial, it was important to me that the matter not become too great a distraction from the organization, or a significant impediment to the work of the city. I needed to avoid appearing distracted and preoccupied if city staff were to continue to function effectively. Also, the ci ty attorney and I had to deal with the anxiety of staff members who were subpoenaed to testify at the trial.

The trial started off on a less-than-positive note, with the district attorney needing to drop three of the four accusations (counts) brought against the council member relating to the property conflict of interest. Bizarrely, it was determined that the defendant did not "technically" have a conflict of interest relating to his family's property (even though he and his family lived there) because it was held in trust by his father.

Form of Government on Trial

The lone remaining count was violating the city charter by interfering with the responsibilities of the city manager. Therefore, in actuality, the council-manager form of government, and how it functioned in Mountain View, were put on trial. Testimony stretched out for more than two weeks and was covered daily in the media. To say that this was a stressful period is an understatement.

Testifying on the history and purpose of council-manager government was certainly one of my most interesting professional experiences. The case clearly became a testing ground for the principles and values inherent in the form. Specifically, it was a testing ground for our professional obligation to shield city staff from political interference and demands for special treatment by an elected official.

The defense attorney attempted to make the case that any council member contact with city staff that was condoned by the city manager "opened the gates" for his client's conduct.

More personally, I had the unique experience of being cross-examined about confidential memos I had submitted to the council during my own annual performance evaluation. Also, to counter misinformation from the defense, I took the unusual step of giving the district attorney my most recent performance evaluation to present to the jury!

The Verdict

At the conclusion of the testimony, the wait for the verdict began. After almost four days of deliberations, the jury returned a verdict of "guilty of misconduct in office."

Newspaper editorials called the verdict a "victory for honest government" and suggested that this council member was lucky not to have been criminally prosecuted. Ironically, the main reason he was not being prosecuted in this way was his lack of success in getting city staff to do what he

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wanted. So, in effect, we had saved him from being more legally liable than he would otherwise have been.

Some of his political supporters continued to defend the council member, claiming he had been convicted only on a "technicality." In a further attempt to make public relations points, the council member resigned one day before the superior court judge was scheduled to sign the removal-from-office order. The judge, however, refused to acknowledge the resignation as sufficient and issued the removal order anyway.

Lessons Learned

For both the city attorney and myself, opting to publicly accuse a mayor/council member of misconduct was one of the hardest decisions of our professional lives. In advance, we knew that this course of action would be difficult and professionally risky. On the one hand, we felt we had no other choice consistent with our professional ethics, but, on the other hand, we realized that the consequences of our action were likely to be significant for the community and for ourselves. While this move was difficult to make, we concluded that we had to act.

Al though we as individuals were willing to put up with this council member's threats and attempts at intimidation as long as we could block his efforts, when it ultimately became evident that we could no longer fulfill our obligations to the council, staff, city charter, and community without disclosing his behavior, the appropriate course of action became inescapable (regardless of any personal consequences). We saw clearly that the staff could no longer be shielded from his conduct and that we must inform the council that one of its members was acting in a manner not consistent with their stated values, with the city charter, and, most likely, with state law.

The most difficult aspect of these types of situations is determining when the problematic conduct has gotten to the point where there is no alternative besides public disclosure.

Looking back on this experience, we would offer the following observations:

- Recognize that it can be extremely difficult to determine when your personal intervention with a council member has not been sufficient to fulfill your professional and ethical obligations to your organization and community.
- Don't underestimate the ability of a core group of supporters to rationalize the behavior of "their guy" and to take the offensive on his behalf.
- Clearly understand at what point you must disclose illegal/unethical conduct, even though you may not play a role in determining the appropriate remedy for the conduct.
- Appreciate that our ultimate responsibility as managers is not to individual council members, but to the council as a whole and to the employees of the organization, the community, the ethics of our

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profession, and the laws governing the form of government in which we serve.

- Understand that attempts to establish reasonable flexibility in setting administrative/policy boundaries can later be attacked as removing all such distinctions.
- Appreciate that the value of having a strong working relationship with your city attorney cannot be minimized.
- Develop a mature understanding that doing what is right will often not be easy, may subject you to personal attack, and may have negative personal and/or professional consequences.
- Recognize that, although they probably won't be as vocal as your critics, many members of your community will have increased confidence in you and in the organization for your willingness to confront unethical behavior.
- Realize that acting ethically will result in local government employees' acknowledgement of your willingness to "walk the talk" in regard to principled conduct.

Conclusion

Fundamental to our service to our communities and our professional values is the need to consider thoughtfully when we as managers are morally, ethically, and/or legally required to confront misconduct. While our primary goal should be to educate those we work with to prevent misconduct, this priority does not absolve us of an obligation to take more drastic action if we are unsuccessful in preventing it.

Our greatest risk is the potential to rationalize that we don't really need to take action when confronted with the negative consequences of doing so. We need to reflect seriously and carefully on this point if we are to be prepared to act.

As we have heard over and over recently in relation to corporate and organizational scandals, the leaders of organizations should be held accountable to answering three questions when illegality or corruption is exposed:

- What did you know?
- When did you know it?
- What did you do about it?

If we are to strive to be leaders of ethical organizations, we must be prepared to respond to these questions. As difficult as my experience was, it meant a chance for our organization to prove its commitment to the values we espouse. And, to say the least, it furnished some unusual and unexpected forums in which to explain the structure and value of the council-manager form of government.

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KEY NOTES

- The simple fact is that when you live your life in the fishbowl of public administration, sometimes things just don't work out the way you want them to.
- The "bad behavior" (i.e., behavior counter to the goals and culture of the board or council) of even just one council member has a tendency to negatively impact the other members of the governing body.
- Ideally, the mayor or the most senior or most influential member of the council can take the offending council member aside and help that person see "the good governance light."
- In reality, though, often the brunt of the challenging behavior is directed at the administrator and/or staff, and so logically some of the intervention does involve the chief administrator as well.
- Interest-based negotiating teaches you that it is always valuable to look beyond the words used by a difficult council member to try to understand what that person truly hopes to gain or accomplish. Getting past the bombastic rhetoric to desired outcomes is often a path to accommodation.
- If the administrator allows any member of the staff team to act in a manner contrary to the team, then all other members of the team wonder if the administrator really means what he or she says.
- When a bad situation is allowed to linger, staff members start taking sides, and if no action is taken, the team can actually cease to be one, with people retreating into silos or building their own safety zones.
- Innovation is necessary to be successful in local government today, so of course mistakes are inevitable. The key to surviving and even getting stronger through mistakes is to acknowledge them quickly, determine what went wrong, adjust the behavior or the system, and rectify the mistakes if possible.
- As contrary as it sounds, the administrator often gains, rather than loses, respect by being willing to acknowledge mistakes.
- Unless the administrator can create an environment that encourages "smart risks," there will be little if any innovation regardless of how much innovation is desired by the council.

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- In local government, administrators can become embroiled in controversies absolutely not of their own or the organization's making. Almost always, openness is the best course of action.
- Having an employment agreement in place prior to any kind of transition is a level of protection that all managers need.
- In keeping the governing body members well-informed about emerging problems, if the information you need to share is confidential, remember that anything written can be (and likely will be) shared, so verbal communication is best.
- Communicating relentlessly is paramount in the face of crisis or disaster.

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Chapter 8

"MAY THE FORCE BE WITH YOU": A SET OF 12 BEST PRACTICES IN COUNCIL-MANAGER RELATIONS

Mastering the essentials

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If you find yourself at this chapter, you have either been a faithful reader or, like an impatient reader of mystery novels, you've skipped ahead to the end. In either case, we want to send you off with some final thoughts on how to maximize the potential of a great working relationship with your elected officials. Enjoy the list!

> . . . help your newly elected officials learn what policy making is all about . . . ***help them do meaningful work.***

1. **Always Have Time for Your Elected Officials:** ***It will be a big problem if elected officials don't feel important or valued by the manager.***

   Elected officials don't run for office to feel ignored. It is easy to underestimate how much elected officials look to the manager for cues in regard to how they are valued. With all the demands on the manager's time, it is easy to find it difficult to be available as often as some elected officials would like. Make it a priority to be available and responsive to your elected officials—it is much more important than you might think. Always ask each of them individually how much and how they want and like to be communicated with. Listen to both their verbal and nonverbal (i.e., body language) response.

2. **Help Your Elected Officials Become Better Policy Makers:** ***Make it easier for elected officials to stay focused on what they are supposed to do.***

   "Making policy" is not easy. Few elected officials come to their roles with the knowledge and skill to do so effectively. It is frankly easier for them to help you do your job than to do their own. And since they all were elected to "do something" if not busy working on policy issues, they will gravitate to more administrative areas. So help your newly elected officials learn what policy making is all about and how to go about doing it. Create structures (strategic plans, general plans, policy development, legislative goals, etc.) that help them do meaningful work in their area of responsibility—decreasing the odds that they will gravitate to help you do your work since they are not finding meaning in their roles. Help them find "early wins" in their arena and they are more likely to stay in it.

3. **Have Clear Communication and Understanding Regarding Your Council's Expectations:** ***You can't meet their expectations if you don't know what they are.***

   While sometimes time-consuming and challenging, it is critical for the manager to have a clear dialogue with elected officials about their expectations concerning the manager's performance. A meaningful conversation on this topic can occur during performance evaluations or in some other setting. Having an understanding with your elected officials that they will "let you know if there is a problem" is not sufficient. You need to proactively seek input and feedback so that you can better understand their expectations of you before you run into issues with your performance not matching their expectations.

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4. **Never Compete with Elected Officials for Public Recognition or Attention:** ***You get paid—let the elected officials have the limelight.***

   By and large elected officials work very hard for relatively little, if any, compensation. One of the major "rewards" for their service is public recognition for organizational success. It is often too easy for the public and/or press to focus on the manager as the reason for organizational/community success. While it is quite natural to be tempted to accept such praise (particularly if it is well deserved), the contribution of the council (and often staff) should be emphasized. Councils are fully cognizant of what their professional managers are paid for their work. It follows, then, that council members expect the manager to make sure they get the "compensation" of public recognition.

5. **Implement City Council Decisions Faithfully:** ***It doesn't matter whether you like the decision; it's yours to implement.***

   We should all know that the nature of our local government democracies dictates that the will of the people is discerned by the elected body. Whether right or wrong (at least from your point of view), councils have the right to make those decisions. While you can appreciate your obligation to carry out the will of the elected officials, you can sometimes do so halfheartedly or with little enthusiasm. If you do so, it will be noticed and will not be appreciated. Your professionalism requires you to implement decisions you disagree with as effectively as decisions you recommended (and this also helps avoid you and the staff being blamed for any lack of success resulting from the board's decision).

6. **Do the "Small Stuff" Well So That Your Elected Officials Can Trust You on the "Big Stuff":** ***Pay attention and remember what is important to your elected officials.***

   It can be tempting, quite understandably, to put a low priority on what we perceive to be low-priority issues raised by council members (often on behalf of constituents). Whether it's a pothole to be filled or a street tree to be trimmed, it can be frustrating to feel pulled away from "higher priority" responsibilities. However, the more effectively you and your team respond to these "small things" (particularly since these will never seem to be minor concerns to elected officials or one of their constituents), the more credibility you and the organization will establish with your elected officials. It increases the odds that when a significant or complex issue is before them, the elected officials will have confidence in your recommendation. However, if you have not demonstrated the ability to get the "small stuff" accomplished, elected leaders may not trust you and the staff when the "big stuff" rolls around.

> "Your professionalism requires you ***to implement decisions you disagree with*** as effectively as decisions you recommended. . . ."

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> Never forfeit your credibility by appearing to ***overly influence a decision. . .***

7. **Always Maintain Your Professionalism:** ***If you ever make it personal, watch out!***

   It is inevitable that you and your elected officials will at times not agree on a course of action. As long as such disagreements remain at a professional level, little damage is usually incurred. However, if such disagreements ever degenerate into what appears to be personal animosity, the ability to maintain an effective relationship is greatly compromised. Even when provoked, do your best to never appear to personally have a problem with your elected official (versus viewing a policy question from a different perspective). Once your elected official believes it has become personal, that perception is very hard to overcome. Treat your least supportive member just as you would your most supportive one, and he or she might just become it!

8. **Be Realistic About "Management vs. Policy":** ***Avoid "I want to play in your yard, but you better not play in mine."***

   The need for managers to withstand the efforts of elected officials to become directly involved in the management of the day-to-day operations of the city is clearly understood. However, the line of separation can be blurry. It is also clear that leaving the council completely in the dark regarding what is occurring within the organization can lead to serious issues for the manager. Additionally, it is certain that the manager (via recommendations and the like) will influence policy positions. If the manager is going to influence policy, she/he must be willing to find balance in terms of allowing elected officials some reasonable understanding of what is happening administratively in the organization.

9. **Present Facts and Information Accurately and Completely:** ***Avoid spinning at all costs.***

   It is completely understandable to become "invested" in your recommendations to your elected bodies. While, fortunately, few in our profession would intentionally mislead the elected bodies to achieve a desired outcome, it is possible to do so inadvertently. Not presenting all legitimate options or not completely and fairly identifying the pros and cons of options can be tempting when you are convinced regarding what direction the council should take. Never forfeit your credibility by appearing to overly influence a decision by not presenting all the relevant facts in a clear and unbiased fashion.

10. **Be Realistic About the Number and Types of Issues You Ask Your Council to Tackle at One Time:** ***Don't try to take on everything at once.***

    When we know that there is much work to be done, it can be tempting to bring many issues forward in close time proximity. Whether it

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is at one meeting, or a series of meetings in close proximity, it is easy to overload councils with either too much workload or too much controversy. This can lead to poor decision making, and even resentment. Sometimes bad decisions result when a different sequencing of issues or more time to consider the topics could have resulted in a more positive outcome. Don't overload your councils with work or controversy—timing can be everything!

11. **If Elected Officials Don't Trust Your Honesty and Integrity, Nothing Else Matters:** ***Establishing and maintaining trust must be your highest priority.***

    Many factors can impact the success you have in establishing and maintaining a successful working relationship with your elected officials. None is more important than trust. If your elected officials don't trust you to be honest and straightforward with them, nothing else matters. You can be the smartest or most skilled manager around, but without trust, little else matters. Never squander that trust by what you do or say. Mistakes can usually be forgiven, violation of trust usually cannot.

> Mistakes can usually be forgiven, ***violation of trust*** usually cannot.

12. **Every Time Your Council Changes, Your Job Becomes New Again:** ***Never take the relationship for granted.***

    Most managers taking on a new job, especially first-time managers, take nothing for granted. They actively seek input and feedback. They work hard to develop a strong relationship with the council as a whole and with individual council members. The longer you serve in these roles, the more casual you can become in regard to establishing and retaining a positive working relationship. Assume, because it is usually true, every time your council changes it becomes a "new job" for you. Don't forget how you acted (and took nothing for granted) as a new and/or first-time manager. Never take the relationship for granted, even if your council doesn't change.

Final *Final Word*

It no doubt came as no surprise that a good deal of this book deals with the unique challenges of being a CAO in local government, and in particular, the challenges that can arise in working with and for elected officials. However, we are hopeful that you come away with a sense of how meaningful and important this work is as well.

Between the two of us, we have served as CAOs of local governments for several decades. Both of us feel incredibly fortunate to have been able to play the roles we played in our respective communities, and neither of us would trade the experience for anything. While we both have faced our share of challenging times, they were far outweighed by our positive experiences.

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It's useful to keep in mind that there are challenging times in all professions and jobs. That is not unique to local government management. However, with the challenges of our profession come a singular variety of experiences, an unusually high degree of meaningfulness in our work, and an important sense of satisfaction when we do our work well.

Congratulations on your decision to choose local government professional management as a career. While you work to overcome its inherent challenges, never forget the value and purposefulness of the work you do.

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RELATED RESOURCES

These links take you to online ICMA resources mentioned throughout this publication. In addition, ICMA's Knowledge Network is an online focal point of thought, resources, expertise, and interaction related to all local government topics. Here you will find a learning community for local government leaders to exchange ideas and a place to disseminate best, leading, and emerging practices. You can explore the realm of council-manager relations through the "topics" pages featured in the Knowledge Network.

- ICMA's "Practices for Effective Local Government Leadership"
- ICMA's Life, Well Run program
- Steve Bryant's article, "Council/Manager Relationships Revisited," November 2015 Public Management
- 2015 survey of 250 California city and county managers
- ICMA Manager Evaluations Handbook
- Ken Hampian's May 2004 *Public Management* article entitled "Six Reasons Why It's Best to Work Through the Manager"
- ICMA Code of Ethics
- ICMA Voluntary Credentialing Program
- Senior Advisor Program
- Frank Benest's online "City Managers Need Coaches Too" column (Career Compass No. 45)
- "Elected Officials" topic in the Knowledge Network
- Robert's Rules of Order
- Resources available through national organizations: ICMA as well as the National League of Cities (NLC), the United States Conference of Mayors (USCM), and the National Association of Counties (NACo)
- Model employment agreement
- Regional summits or ICMA's annual conference
- ICMA Career Network has multiple career resources
- A collection of select articles from Mike Conduff's Council Relations column in *Public Management* magazine. (*Note:* This is premium content available only to ICMA members.)

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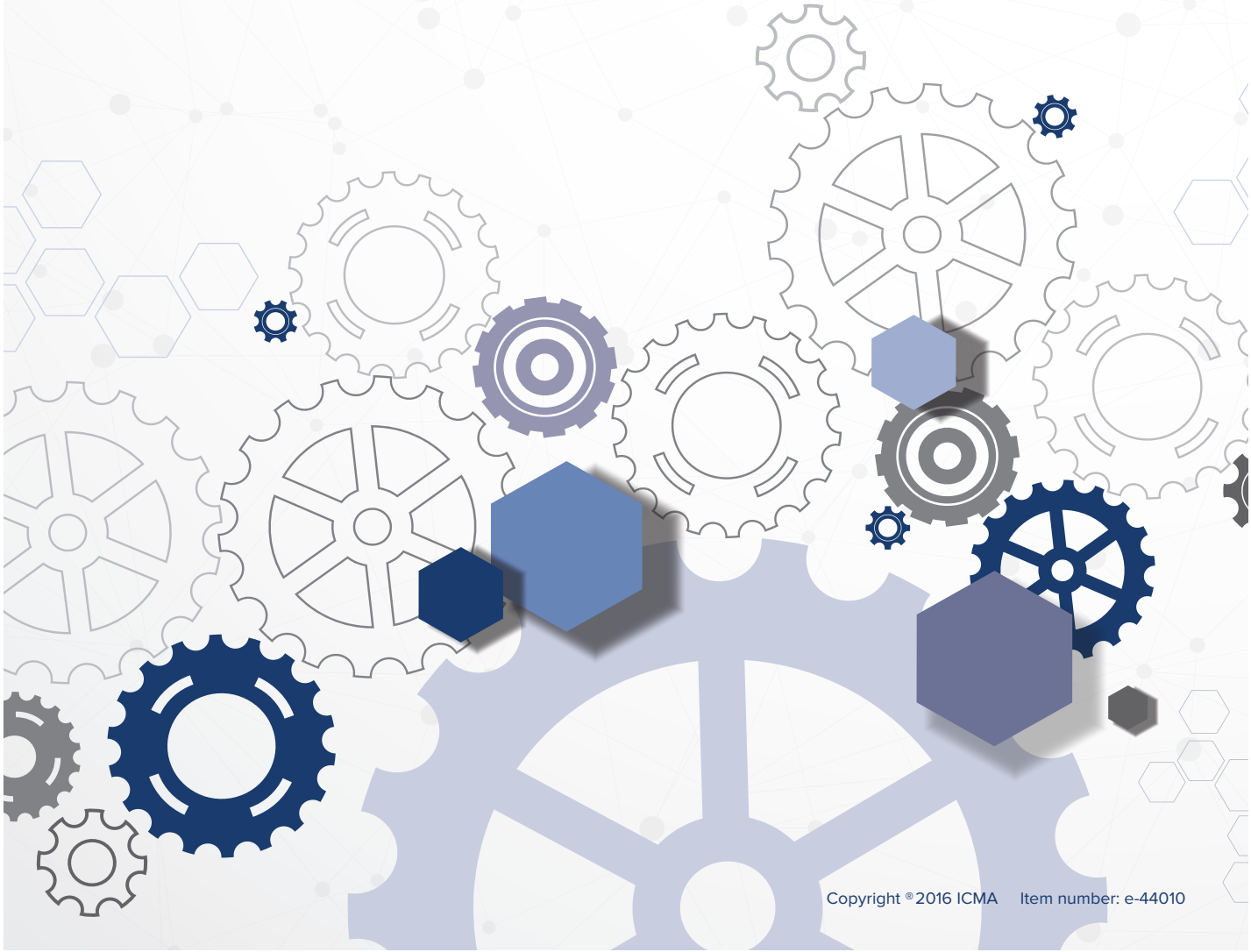

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City of St. Helena

Council Vision

St. Helena strives to be a diverse, inclusive, family-friendly, economically and environmentally sustainable community which prudently manages all of its resources, continues to improve its infrastructure, ensures its water security, provides a full range of housing, business, cultural and recreational opportunities and cherishes its historic, small-town character, beautiful natural environment and high quality of life.

Council Mission

The City of St. Helena is dedicated to serving its citizens by:

- Promoting a culture of equity, diversity and inclusion
- Supporting thriving families and ensuring the health and wellbeing of our youth
- Ensuring our long-term economic sustainability and focusing on new and diverse sources of revenue
- Preventing, preparing for, and mitigating fire and other local emergencies
- Improving and maintaining City infrastructure
- Updating our water management policies to ensure an adequate water supply
- Responding innovatively to climate change challenges and adopting environmentally sustainable best practices
- Preserving our historic, small-town, rural character
- Expanding recreational, active transportation and cultural opportunities
- Facilitating innovative, well-designed housing for residents of all backgrounds, ages and income levels
- Encouraging full civic participation and ongoing communication
- Strengthening regional collaboration with other public entities and building partnerships with local service providers and stakeholders

Vision and Mission Statements adopted by the City of St. Helena City Council on May 11, 2021, Resolution No. 2021-62.

CITY OF ST. HELENA

RESOLUTION NO. 2021-62

Resolution rescinding resolution 2016-47 and adopting the City of St. Helena's new Council Vision and Council Mission

RECITALS

A. On February 22, 2000 the City Council adopted resolution 2000-28 approving the current mission statement which is: *"We will conduct city affairs on behalf of our citizens using an open and creative process"; and*

B. On April 12, 2016, the City Council approved resolution 2016-47 approving the City's new Vision and Mission Statements; and

C. At the March 4, 2021 Goal Setting special City Council meeting Vice Mayor Dohring and Council Member Hall agreed to collaborate on bringing forward a new vision and mission statement for the community; and

D. The new Council vision for the City of St. Helena is:

> St. Helena strives to be a diverse, inclusive, family-friendly, economically and environmentally sustainable community which prudently manages all of its resources, continues to improve its infrastructure, ensures its water security, provides a full range of housing, business, cultural and recreational opportunities and cherishes its historic, small-town character, beautiful natural environment and high quality of life.

E. The new Council Mission for the City of St. Helena is:

The City of St. Helena is dedicated to serving its citizens by:

- Promoting a culture of equity, diversity and inclusion
- Supporting thriving families and ensuring the health and wellbeing of our youth
- Ensuring our long-term economic sustainability and focusing on new and diverse sources of revenue
- Preventing, preparing for, and mitigating fire and other local emergencies
- Improving and maintaining City infrastructure
- Updating our water management policies to ensure an adequate water supply
- Responding innovatively to climate change challenges and adopting environmentally sustainable best practices
- Preserving our historic, small-town, rural character

- Expanding recreational, active transportation and cultural opportunities
- Facilitating innovative, well-designed housing for residents of all backgrounds, ages and income levels
- Encouraging full civic participation and ongoing communication
- Strengthening regional collaboration with other public entities and building partnerships with local service providers and stakeholders

RESOLUTION

Now, therefore, the City Council of the City of St. Helena resolves as follows:

1. The City Council rescinds resolution 2016-47; and
2. The City Council adopts the new Council vision and Council mission.

Approved at a Regular Meeting of the St. Helena City Council on May 11, 2021, by the following vote:

Mayor Geoff Ellsworth:	**Yes**
Vice Mayor Paul Dohring:	**Yes**
Council Member Anna Chouteau:	**Yes**
Council Member Lester Hardy:	**Yes**
Council Member Eric Hall:	**Yes**

APPROVED:

Geoff Ellsworth, Mayor

ATTEST:

Cindy Tzafopoulos, City Clerk

CITY OF ST. HELENA Incorporated March 24, 1878 Reincorporated May 14, 1889 STATE OF CALIFORNIA

	WHO	WHAT	NOTES	PROJECT STATUS	FY 2021-22 TARGET COMPLETION				ESTIMATED STAFFING HOURS
				% Complete	Q1	Q2	Q3	Q4	
GOAL 1	**Improve and Maintain Safe and Reliable City Infrastructure with a Commitment to Environmental Stewardship, Public Health, and Public Safety**								
A	Police Chief	Complete Glass Fire After Action Report to improve emergency preparedness for future events.	Completed and presented at Special Council Meeting of 6/29/2021.	100%	X				240
B	City Engineer	Adoption of Integrated Utility Master Plan Findings/Recommendations.	Preliminary Council presentation held 7/30/2020.	95%			X		80
C	City Engineer + Assistant to the City Manager + City Manager	Complete analysis of St. Helena Vine Trail route options and facilitate Council decision making on preferred route.	This item was discussed at ATSC in November 2021. Additional informational presentations have been provided by the Vine Trail to the St. Helena Unified School District Board and the Chamber of Commerce. An update and Council discussion is planned on 1/11/2022.	90%			X		40
D	City Engineer + GHD	Complete Phase I - Citywide Active Transportation Plan/Safe Routes to School Plan (Madrona/Spring St. Pedestrian Improvements).	Phase I draft report with short term recommendations is complete and under review by the City Engineer. Presentation for Phase I recommendations went to ATSC on 10/3/2021. Council discussion tentatively planned for February 2022.	85%			X		100
E	City Engineer	Construct Spring Street Bike Lanes.	Design is complete and construction contract was executed on 10/27/2021; the striping will occur in Spring 2022.	95%			X		20
F	City Engineer + Acting PW Director	Create a Comprehensive Water Security Framework to manage initiatives	Presented to City Council on 7/27/2021.	100%		X			160
G	City Engineer + City Attorney	Complete conservation easement for Flood Control Project.	This was adopted at the 10/12/21 City Council meeting.	100%		X			80
H	City Attorney (Lead) + City Engineer	Prepare Draft Water Will Serve Policy for City Council Review.		20%			X		160
I	Chief of Police	Develop emergency evacuation plan and procedures.	Zonehaven evacuation program announced 7/2/2021.	100%		X			160
J	City Engineer + Operations Manager	Complete Public Works Standards Update.	Standards are developed; operations staff has reviewed and it has been sent to Director of Public Works for final review.	75%				X	180
K	City Engineer + GHD	Complete Phase II - Citywide Safe Routes to School (SR2S) analysis.	GHD has began working on Phase II. Existing conditions report has been developed and a walking workshop will be scheduled in early 2022.	10%				X	120

	WHO	WHAT	NOTES	PROJECT STATUS	FY 2021-22 TARGET COMPLETION				ESTIMATED STAFFING HOURS
				% Complete	Q1	Q2	Q3	Q4	
GOAL 2	**Stabilize, Maintain and Improve Access to Housing**								
A	Planning Director (Lead) + City Manager + CM Hall + CM Hardy	Consider and synthesize stakeholder housing recommendations and recommend short and long-term housing initiatives to the City Council, including advancing the use of one or more of city-owned parcels (including Adams Street) for affordable housing.	Council working group to consider revenue options when analyzing housing options for Adams Street parcel. In November 2021, Council held a Special Meeting to discuss surplus City properties; direction was provided on moving forward with affordable housing on the City's Railroad Avenue parcel. Additional work needed on developing short and long-term initiatives.	30%			X		80
B	Planning Director (Lead) + Lise Wise Consulting	Complete Zoning Code update.	Schedule may be adjusted depending on scope of comments and revisions requested by the Zoning Code Subcommittee. All sections of the draft code have been submitted to staff for review with the exception of the Affordable Housing Chapter. LWC is concurrently working on an update to the Inclusionary Housing Ordinance which is under internal review and will need feedback from the City Council prior to inclusion in the Affordable Housing Chapter. About 5% of the code remains to go to the subcommittee for review. (PD Overlay and Affordable Housing Chapter).	50%				X	450
C	Planning Director (Lead) + Assistant Admin. Services Director	Update Housing Impact Fees for workforce housing and consider updates to inclusionary housing ordinance.	Recommendations for updates to IHO ordinance will be folded into the zoning code update.	35%		X			90
D	Planning Director (Lead) + Mintier Harnish	Advance work on General Plan Housing Element Update	To date there has been a joint meeting of the Planning Commission and City Council, three Focus Group meetings, and in one community workshop. The housing sites inventory process has begun and housing sites are being evaluated for potential inclusion in the Housing Element in order to accommodate our RHNA allocation.	20%				X	500

	WHO	WHAT	NOTES	PROJECT STATUS	FY 2021-22 TARGET COMPLETION				ESTIMATED STAFFING HOURS
				% Complete	Q1	Q2	Q3	Q4	
GOAL 3	**Enhance Organizational Performance, Communications, and Commit to Full Public Participation and Regional Collaboration**								
A	City Manager + Assistant to the City Manager	Consider recommendations to governing language presented by Parks & Recreation Commission and ATSC.	Both ATSC and the PRC have created subcommittees to evaluate governing language. Council will consider a first reading of a revised P&R Commission ordinance on 1/11/2022. ATSC will be reviewing their Ad Hoc Committee recommendations for a Resolution in February 2022.	45%			X		160
B	City Manager + Assistant to the City Manager	Identify and advance internal and community social justice, diversity and inclusion initiatives.	Action framework presented to City Council on 5/11/2021. Staff has complete draft ordinance research for creation of a DEI Committee and is planning distributing an internal employee DEI Survey in January 2022, and has made suggestions to the nonprofit grant applications (see goal 5F), pursuant to the City's DEI Strategy.	35%			X		160
C	City Manager	Provide quarterly updates on workplan status/completed tasks; enhance City website for community communication purposes.	Updates will be provided at the completion of each quarter.	50%		X			160
D	Police Chief + City Attorney	Review and consider updates to Police Policies to ensure alignment with core City values.	Currently under review by Chief of Police.	60%			X		350
E	HR/IT Director + City Manager	Prepare/present to the City Council an employee succession plan and/or strategy to help retain employees and minimize turnover costs.	Next steps include reviewing draft succession plan with City Manager.	75%			X		24
F	Planning Director (Lead) + Vice Mayor Dohring	Prepare/present citywide design guidelines to the Planning Commission for adoption.	The new draft zoning code includes some design illustrations and multi-family objective standards have been drafted as part of the new code.	60%			X		350
G	Chief of Police	Implement State and Federal DOJ mandated reporting system, radio encryption system, and software/training.	County of Napa awarded $1.4 million for equipment and software. St. Helena Police Dept. is equipped and waiting on County to equip and implement.	90%				X	TBD

	WHO	WHAT	NOTES	PROJECT STATUS	FY 2021-22 TARGET COMPLETION				ESTIMATED STAFFING HOURS
				% Complete	Q1	Q2	Q3	Q4	
GOAL 4	**Ensure Long-Term Economic Sustainability while Supporting St. Helena's Charm and Rural Character* (**Draft goal title**)**								
A	Admin. Services Director	Complete Impact Fee Study and Cost Allocation Plan (including inclusionary fees and housing fees) for City Council adoption.		90%				X	60
B	City Manager (Lead) + Admin Services Director + Mayor Ellsworth + Vice Mayor Dohring	Prepare financing and revenue options for City Council review and consideration to address City Infrastructure deficiencies.	Presented at 6/8/2021 City Council Meeting. Direction provided to pursue opinion research services. Council awarded contract to FM3 Research on 9/14/2021.	100%	X				60
C	Planning Director (Lead) + Parks & Recreation Commission + City Engineer	Advance progress on development of walking trails.	The St. Helena Open Space Trails ad hoc subcommittee presented their final report to the Parks & Recreation Commission on 7/26/2021. The PRC endorsed the report. The draft plan will need a CEQA consultant to prepare the appropriate documentation prior to City Council action and City staff are working to bring a consultant on board in January 2022.	50%			X		150
D	Business Liaison + City Manager + CM Chouteau + CM Hall	Prepare and implement COVID Business Recovery Plan & Continuity Strategy for Phase 1 Downtown Streetscape Project.	Business Recovery Strategy presented to City Council August 21, 2021. Continuity strategy for Streetscape Project to align with project.	80%				X	60
E	Planning Director (Lead) + CM Chouteau + CM Hall	Develop marketing collateral for prospective tenants and prioritize targeted business types.		5%			X		TBD
F	Parks & Recreation Director (Lead) + Parks & Recreation Commission	Prioritize General Plan "Parks & Recreation" Chapter action items with appropriate staff and Parks & Recreation Commission feedback into short (1-2 years) and long-term (3-5 year) actionable tasks; advance short-term tasks.	Ad Hoc Subcommittee continues to review implementing actions and discuss recommended updates with the Parks & Recreation Commission.	60%			X		30
G	Planning Director (Lead) + City Engineer	Develop Parklet's Policy for City Council review and consideration.	Time has been focused on other public space activation opportunities as directed by City Council in March 2021. Staff have begun conversations with a parklet designer who has done work in Calistoga to evaluate options for St. Helena. Additional work is needed on development of a draft policy.	15%			X		60
H	TBD	Initiate pedestrian activation of Money Way beginning with garbage/recycling consolidation.	Next steps include a site visit and agreement with the County to get reimbursed for items as part of the scope of the grant.	0%				X	120

	WHO	WHAT	NOTES	PROJECT STATUS	FY 2021-22 TARGET COMPLETION				ESTIMATED STAFFING HOURS
				% Complete	Q1	Q2	Q3	Q4	
GOAL 5	**Support Thriving Families and Enhance the Safety, Well-Being, and Healthy Development of our Youth**								
A	Assistant to the City Manager + Vice Mayor Dohring and Council Member Chouteau	Redwood Forest Expansion: In coordination with Paul Asmuth, determine opportunities to include youth during the planting of the redwood trees. Connect with Biology teacher Lisa Luhn to tie in an educational component.	Redwood Forest Planting Day was held 7/9/2021. Additional coordination will occur on the educational side in coming months and development of a longer term management agreement with the participating non-profit.	90%			X		120
B	Assistant to the Manager City + Vice Mayor Dohring and Council Member Chouteau	The Council will designate two to three Youth Representatives to speak once every two months at City Council meetings. These individuals would a) provide an update on youth related issues in the community and b) act as a liaison to youth when feedback is requested on City Council matters.	Staff and Council representatives Vice Mayor Dohring and Council Member Chouteau have developed a student representative selection process which has been reviewed by and agreed to by SHUSD Supt. Presentations to the St. Helena High School Sr and Jr class were made in December 2021 and interviews/prep for first CC meeting will be conducted mid January 2022 with students presenting in February 2022.	70%			X		60
C	Assistant to the City Manager + Vice Mayor Dohring and Council Member Chouteau	Distribute Youth Survey to High School and Middle School to receive direct feedback from the youth.	The survey has been created and distributed; ad hoc committee is reviewing results.	100%	X				20
D	Asst. Admin. Services Director	Prepare and submit $500,000 CDBG grant in partnership with Aldea Children & Family Services to support delivery of youth and family mental health services.	Completed.	100%	X				12
E	Assistant to the City Manager + Vice Mayor Dohring and Council Member Chouteau	Create a Diversity, Equity and Inclusion Committee with a seat for a youth member to identify recommendations to ensure a more socially diverse and inclusive community.	Staff is working on bringing a draft ordinance to City Council for discussion and feedback in February 2022.	10%			X		200
F	Assistant to the Manager City + Vice Mayor Dohring and Council Member Chouteau	Consider refining the Nonprofit Grant Criteria to specifically state that a grant will be awarded to a nonprofit that supports thriving families and enhances the safety, wellbeing and healthy development of youth and related issues.	Staff met with Mayor Ellsworth and Vice Mayor Dorhing in late December 2021 with proposed amendments to the grant application. Council will receive recommended changes to this program at their January 11, 2022 meeting.	90%			X		10

	WHO	WHAT	NOTES	PROJECT STATUS	FY 2021-22 TARGET COMPLETION				ESTIMATED STAFFING HOURS
				% Complete	Q1	Q2	Q3	Q4	
GOAL 6	**Support Initiatives That Respond To And Plan For Climate Change**								
A	Planning Director (Lead) + ATSC + Planning Commission	Prioritize General Plan "Climate Action" Chapter action items with appropriate staff and Planning Commission/ATSC Committee feedback into short (1-2 years) and long-term (3-5 year) actionable tasks.	ATSC has reviewed these items. Next step is to bring forward at a future City Council meeting in February 2022.	60%			X		60
B	Assistant to the City Manager + PW Operations Manager	Development of an Integrated Pest Management Policy.	This policy was adopted by the City Council at the October 28, 2021 meeting.	100%		X			60
C	City Engineer + Water Consultant	Advance the City's public trust commitments to water and climate change.	Council adopted interim protocols for Stonebridge Wells on 4/27/2021. Water Security Framework presented to City Council on 7/27/2021.	25%			X		TBD
D	Assistant to the City Manager + Planning and Building Director	Consider joining countywide Joint Powers Agreement (JPA) to support, coordinate, and advance regional climate action initiatives.	Approved 4/13/2021.	100%	X				60
E	NVTA/Planning Director/Public Works Director	Develop and adopt VMT thresholds in accordance with State law.		10%			X		70
F	Assistant to the City Manager + City Manager + PW Operations Manager	Consider alternatives to Gas Leaf Blowers		0%				X	TBD

	WHO	WHAT	NOTES	PROJECT STATUS	FY 2021-22 TARGET COMPLETION				ESTIMATED STAFFING HOURS
				% Complete	Q1	Q2	Q3	Q4	
OTHER									
A	Assistant to the City Manager (Lead) + City Manager	Coordinate tenant improvements and relocation of City Hall and Police operations to Napa Valley College Upper Valley Campus.	Architectural drawings for tenant improvements were submitted to the Division of State Architect on 9/13/2021. Staff anticipates DSA final sign off the last weekend of January 2022.	35%				X	400

BEST BEST & KRIEGER LLP
ATTORNEYS AT LAW

Summary of the Major Provisions and Requirements of the Ralph M. Brown Act

The Ralph M. Brown Act is California's "sunshine" law for local government. It is found in the California Government Code beginning at Section 54950. In a nutshell, it requires local government business to be conducted at open and public meetings, except in certain limited situations. The Brown Act is based upon state policy that the people must be informed so they can keep control over their government.

A. Application of the Brown Act to "Legislative Bodies"

The requirements of the Brown Act apply to "legislative bodies" of local governmental agencies. The term "legislative body" is defined to include the governing body of a local agency (e.g., the city council) and any commission, committee, board or other body of the local agency, whether permanent or temporary, decision-making or advisory, that is created by formal action of a legislative body (Section 54952).

Standing committees of a legislative body, which consist solely of less than a quorum of the body, are subject to the requirements of the Act. Some common examples include the finance, personnel, or similar policy subcommittees of the city council or other city legislative body that have either some "continuing subject matter jurisdiction" or a meeting schedule fixed by formal action of the legislative body. Standing committees exist to make routine and regular recommendations on a specific subject matter, they survive resolution of any one issue or matter, and are a regular part of the governmental structure.

The Brown Act does not apply to *ad hoc* committees consisting solely of less than a quorum of the legislative body, provided they are composed solely of members of the legislative body and provided that these ad hoc committees do not have some "continuing subject matter jurisdiction," and do not have a meeting schedule fixed by formal action of a legislative body. Thus, ad hoc committees would generally serve only a limited or single purpose, they are not perpetual and they are dissolved when their specific task is completed.

Standing committees may, but are not required to, have regular meeting schedules. Even if such a committee does not have a regular meeting schedule, its agendas should be posted at least 72 hours in advance of the meeting (Section 54954.2). If this is done, the meeting is considered to be a regular meeting for all purposes. If not, the meeting must be treated as a special meeting, and all of the limitations and requirements for special meetings apply.

The governing boards of private entities are subject to the Brown Act if either of the following applies: (i) the private entity is created by an elected legislative body to exercise lawfully delegated authority of the public agency, or (ii) the private entity receives funds from the local agency and the private entity's governing body includes a member of the legislative body who was appointed by the legislative body (Section 54952).

The Brown Act also applies to persons who are elected to serve as members of a legislative body of a local agency who have not yet assumed the duties of office (Section 54952.1). Under this provision, the Brown Act is applicable to newly elected, but not-yet-sworn-in councilmembers.

B. Meetings

The central provision of the Brown Act requires that all "meetings" of a legislative body be open and public. The Brown Act definition of the term "meeting" (Section 54952.2) is a very broad definition that encompasses almost every gathering of a majority of Council members and includes:

"Any congregation of a majority of members of a legislative body at the same time and place to hear, discuss, or deliberate upon any item that is within the subject matter jurisdiction of the legislative body or the local agency to which it pertains."

In plain English, this means that a meeting is any gathering of a majority of members to hear *or* discuss any item of city business or potential city business.

There are six specific types of gatherings that are *not* subject to the Brown Act. We refer to the exceptions as: (1) the individual contact exception; (2) the seminar and conference exception; (3) the community meeting exception; (4) the other legislative body exception; (5) the social or ceremonial occasion exception; and (6) the standing committee exception. Unless a gathering of a majority of members falls within one of the exceptions discussed below, if a majority of members are in the same room and *merely listen* to a discussion of city business, then they will be participating in a Brown Act meeting that requires notice, an agenda, and a period for public comment.

1. The individual contact exception

Conversations, whether in person, by telephone or other means, between a member of a legislative body and any other person do not constitute a meeting (Section 54952.2(c)(1)). However, such contacts may constitute a "serial meeting" in violation of the Brown Act if the individual also makes a series of individual contacts with other members of the legislative body serving as an intermediary among them. An explanation of what constitutes a "serial meeting" follows below.

2. The seminar and conference exception

The attendance by a majority of members at a seminar or conference or similar educational gathering is also generally exempt from Brown Act requirements (Section 54952.2 (c)(2)). This exception, for example, would apply to attendance at a California League of Cities seminar. However, in order to qualify under this exception, the seminar or conference must be open to the public and be limited to issues of general interest to the public or to cities. Finally, this exception will not apply to a conference or seminar if a majority of members discuss among themselves items of specific business relating to their own city, except as part of the program.

3.. The community meeting exception

The community meeting exception allows members to attend neighborhood meetings, town hall forums, chamber of commerce lunches or other community meetings sponsored by an organization other than the city at which issues of local interest are discussed (Section 54952.2(c)(3)). However, members must observe several rules that limit this exception. First, in order to fall within this exception, the community meeting must be "open and publicized." Therefore, for example, attendance by a majority of a body at a homeowners association meeting that is limited to the residents of a particular development and only publicized among members of that development would not qualify for this exemption. Also, as with the other exceptions, a majority of members cannot discuss among themselves items of city business, except as part of the program.

4. The other legislative body exception

This exception allows a majority of members of any legislative body to attend meetings of other legislative bodies of the city or of another jurisdiction (such as the county or another city) without treating such attendance as a meeting of the body (Section 54952.2(c)(4)). Of course, as with other meeting exceptions, the members are prohibited from discussing city business among themselves except as part of the scheduled meeting.

5. The social or ceremonial occasion exception

As has always been the case, Brown Act requirements do not apply to attendance by a majority of members at a purely social or ceremonial occasion provided that a majority of members do not discuss among themselves matters of public business (Section 54942.2(c)(5)).

6. The standing committee exception

This exception allows members of a legislative body, who are not members of a standing committee of that body, to attend an open and noticed meeting of the standing committee without making the gathering a meeting of the full legislative body itself. The exception is only applicable if the attendance of the members of the legislative body who are not standing committee members would create a gathering of a majority of the legislative body; if not, then there is no "meeting." If their attendance does establish a quorum of the parent legislative body, the members of the legislative body who are not members of the standing committee may only attend as "observers" (Section 54952.2(c)(6)). This means that members of the legislative body who are not members of the standing committee should not speak at the meeting, sit in their usual seat on the dias or otherwise participate in the standing committee's meeting.

With a very few exceptions, all meetings of a legislative body must occur within the boundaries of the local governmental agency (Section 54954). Exceptions to this rule which allow the City Council to meet outside the City include meeting outside the jurisdiction to comply with a court order or attend a judicial proceeding, to inspect real or personal property, to attend a meeting with another legislative body in that other body's jurisdiction, to meet with a state or federal representative to discuss issues affecting the local agency over which the other officials have jurisdiction, to meet in a facility outside of, but owned by, the local agency, or to visit the office of the local agency's legal counsel for an authorized closed session. These are meetings and in all other respects must comply with agenda and notice requirements.

"Teleconferencing" may be used as a method for conducting meetings whereby members of the body may be counted towards a quorum and participate fully in the meeting from remote locations (Section 54953(b)). The following requirements apply: the remote locations may be connected to the main meeting location by telephone, video or both; the notice and agenda of the meeting must identify the remote locations; the remote locations must be posted and accessible to the public; all votes must be by roll call; and the meeting must in all respects comply with the Act, including participation by members of the public present in remote locations. A quorum of the legislative body must participate from locations within the jurisdiction, but other members may participate from outside the jurisdiction. No person can compel the legislative body to allow remote participation. The teleconferencing rules only apply to members of the legislative body; they do not apply to staff members, attorneys or consultants who can participate remotely without following the posting and public access requirements.

All actions taken by the legislative body in open session and the vote of each member thereon must be disclosed to the public at the time the action is taken. (Section 54953(c)(2)).

C.Serial Meetings

In addition to regulating all gatherings of a majority of members of a legislative body, the Brown Act also addresses some contacts between individual members of legislative bodies. On the one hand, the Brown Act specifically states that nothing in the Act is intended to impose Brown Act requirements on individual contacts or conversations between a member of a legislative body and any other person (Section 54952.2(c)(1)). However, the Brown Act also prohibits a series of such individual contacts if they result in a "serial meeting" (Section 54952.2(b)).

Section 54952.2(b)(1) prohibits a majority of members of a legislative body outside of a lawful meeting from directly or indirectly using a series of meetings to discuss, deliberate or take action on any item of business within the subject matter jurisdiction of the body. Paragraph (b)(2) expressly provides that substantive briefings of members of a legislative body by staff are permissible, as long as staff does not communicate the comments or positions of members to any other members.

A serial meeting is a series of meetings or communications between individuals in which ideas are exchanged among a majority of a legislative body (i.e., three council members) through either one or more persons acting as intermediaries or through use of a technological device (such as a telephone answering machine, or e-mail or voice mail), even though a majority of members never gather in a room at the same time. Serial meetings commonly occur in one of two ways; either a staff member, a member of the body, or some other person individually contacts a majority of members of a body and shares ideas among the majority ("I've talked to Councilmembers A and B and they will vote 'yes.' Will you?") or, without the involvement of a third person, member A calls member B, who then calls member C, and so on, until a majority of the body has reached a collective concurrence on a matter.

We recommend the following guidelines be followed to avoid inadvertent violation of the serial meeting rule. These rules of conduct apply **only** when a majority of a legislative body is involved in a series of contacts or communications. The types of contacts considered include contacts with local agency staff members, constituents, developers, lobbyists and other members of the legislative body.

1. Contacts with staff

Staff can inadvertently become a conduit among a majority of a legislative body in the course of providing briefings on items of local agency business. To avoid an illegal serial meeting through a staff briefing:

a. Individual briefings of a majority of members of a legislative body should be "unidirectional," in that information should flow from staff to the member and the member's participation should be limited to asking questions and acquiring information. Otherwise, multiple members could separately give staff direction thereby causing staff to shape or modify its ultimate recommendations in order to reconcile the views of the various members, resulting in an action outside a meeting.

b. Members should not ask staff to describe the views of other members of the body, and staff should not volunteer those views if known.

c. Staff may present its viewpoint to the member, but should not ask for the member's views and the member should avoid providing his or her views unless it is absolutely clear that the staff member is not discussing the matter with a quorum of the legislative body.

2. Contacts with constituents, developers and lobbyists

As with staff, a constituent or lobbyist can also inadvertently become an intermediary who causes an illegal serial meeting. Constituents' unfamiliarity with the requirements of the Act aggravate this potential problem because they may expect a member of a legislative body to be willing to commit to a position in a private conversation in advance of a meeting. To avoid serial meetings via constituent conversations:

a. First, state the ground rules "up front." Ask if the constituent has or intends to talk with other members of the body about the same subject; if so, make it clear that the constituent should not disclose the views of other members during the conversation.

b. Explain to the constituent that you will not make a final decision on a matter prior to the meeting. For example: "State law prevents me from giving you a commitment outside a meeting. I will listen to what you have to say and give it consideration as I make up my mind."

c. Do more listening and asking questions than expressing opinions.

d. If you disclose your thoughts about a matter, counsel the constituent not to share them with other members of the legislative body.

3. Contacts with fellow members of the same legislative body

Direct contacts concerning local agency business with fellow members of the same legislative body, whether through face-to-face or telephonic conversations, notes or letters, electronic mail or staff members, are the most obvious means by which an illegal serial meeting can occur. This is not to say that a member of a legislative body is precluded from discussing items of agency business with another member of the body outside of a meeting; as long as the communication does not involve a quorum of the body, no "meeting" has occurred. There is, however, always the risk that one participant in the communication will disclose the views of the other participant to a third or fourth member, creating an illegal serial meeting. Therefore, we recommend you avoid discussing local agency business with a quorum of the body or communicating the views of other members outside a meeting.

These suggested rules of conduct may seem unduly restrictive and impractical, and may make acquisition of important information more difficult or time-consuming. Nevertheless, following them will help assure that your conduct comports with the Brown Act's goal of achieving open government. If you have questions about compliance with the Act in any given situation, please ask for advice.

D. Notice and Agenda Requirements

Two key provisions of the Brown Act that ensure that the public's business is conducted openly are the requirements that legislative bodies post agendas prior to their meetings (Sections 54954.2, 54955 and 54956) and that no action or discussion may occur on items or subjects not listed on the posted agenda (Section 54954.2(a)(2)). Limited exceptions to the rule against discussing or taking action on an item not on a posted agenda are discussed below.

Legislative bodies, except advisory committees and standing committees, are required to establish a time and place for holding regular meetings (Section 54954(a)). Meeting agendas must contain a brief general description of each item of business to be transacted or discussed at the meeting (Section 54954.2(a)). The description need not exceed 20 words. Each agenda must be posted in a place that is freely accessible to the public and must be posted on the agency's website, if it has one. After January 1, 2019, additional online posting requirements apply. Agenda posting requirements differ depending on the type of meeting to be conducted.

If the meeting is a "regular meeting" of the legislative body (i.e., occurs on the body's regular meeting day, without a special meeting call), the agenda must be posted 72 hours in advance of the meeting (Section 54954.2(a)). For "special meetings," the "call" of the meeting and the agenda (which are typically one and the same) must be posted at least 24 hours prior to the meeting (Section 54956). Each member of the legislative body must personally receive written notice of the special meeting either by personal delivery or by "any other means" (such as fax, electronic mail or U.S. mail) at least 24 hours before the time of the special meeting, unless they have previously waived receipt of written notice. Members of the press (including radio and television stations) and other members of the public can also request written notice of special meetings and if they have, that notice must be given at the same time notice is provided to members of the legislative body. A special meeting may not be held to discuss salaries, salary schedules or compensation paid in the form of fringe benefits of a local agency "executive" as defined in Government Code section 3511(d). However, the budget may be discussed in a special meeting. Section 54956(b).

Both regular and special meetings may be adjourned to another time. Notices of adjourned meetings must be posted on the door of the meeting chambers where the meeting occurred within 24 hours after the meeting is adjourned (Section 54955). If the adjourned meeting occurs more than five days after the prior meeting, a new agenda for that adjourned meeting must be posted 72 hours in advance of the adjourned meeting (Section 54954.2(b)(3)).

The Brown Act requires the local agency to mail the agenda or the full agenda packet to any person making a written request no later than the time the agenda is posted or is delivered to the members of the body, whichever is earlier. The agency may charge a fee to recover its costs of copying and mailing. Any person may make a standing request to receive these materials, in which event the request must be renewed annually. Failure by any requestor to receive the agenda does not constitute grounds to invalidate any action taken at a meeting (Section 54954.1).

If materials pertaining to a meeting are distributed less than 72 hours before the meeting, they must be made available to the public as soon as they are distributed to the members of the legislative body. Further, the agenda for every meeting of a legislative body must state where a person may obtain copies of materials pertaining to an agenda item delivered to the legislative body within 72 hours of the meeting. (Section 54957.5).

A legislative body that has convened a meeting and whose membership is a quorum of another legislative body (for example, a city council that also serves as the governing board of a housing authority) may convene a meeting of that other legislative body, concurrently or in serial order, only after an oral announcement of the amount of compensation or stipend, if any, that each member will receive as a result of convening the second body. No announcement need be made if the compensation is set by statute or if no additional compensation is paid to the members. (Section 54952.3(a)).

E. Public Participation

1. Regular Meetings

The Brown Act mandates that agendas for regular meetings allow for two types of public comment periods. The first is a general audience comment period, which is the part of the meeting where the public can comment on any item of interest that is within the subject matter jurisdiction of the local agency. This general audience comment period may come at any time during a meeting (Section 54954.3).

The second type of public comment period is the specific comment period pertaining to items on the agenda. The Brown Act requires the legislative body to allow these specific comment periods on agenda items to occur prior to or during the City Council's consideration of that item (Section 54954.3).

Some public entities accomplish both requirements by placing a general audience comment period at the beginning of the agenda where the public can comment on agenda and non-agenda items. Other public entities provide public comment periods as each item or group of items comes up on the agenda, and then leave the general public comment period to the end of the agenda. Either method is permissible, though public comment on *public hearing* items must be taken during the hearing. Caution should also be taken with consent calendars. The body should have a public comment period for consent calendar items before the body acts on the consent calendar, unless it permits members of the audience to "pull" items from the calendar.

The Brown Act allows a body to preclude public comments on an agenda item in one situation, where the item was considered by a committee of the body which held a meeting where public comments on that item were allowed. So, if the body has standing committees (which are required to have agendized and open meetings with an opportunity for the public to comment on items on that committee's agenda) and the committee has previously considered an item, then at the time the item comes before the full body, the body may choose not to take additional public comments on that item. However, if the version presented to the body is different from the version presented to, and considered by, the committee, the public must be given another opportunity to speak on that item at the meeting of the full body (Section 54954.3).

2. Public Comments at Special Meetings

The Brown Act requires that agendas for special meetings provide an opportunity for members of the public to address the body concerning any item listed on the agenda prior to the body's consideration of that item (Section 54954.3). Unlike regular meetings, in a special meeting the body does not have to allow public comment on any non-agenda matter.

3. Limitations on the Length and Content of the Public's Comments

A legislative body may adopt reasonable regulations limiting the total amount of time allocated to each person for public testimony. For example, typical time limits restrict speakers to three or five minutes. A legislative body may also adopt reasonable regulations limiting the total amount of time allocated for public testimony on legislative matters, such as a zoning ordinance or other regulatory ordinance (Section 54954.3(b)). However, we do not recommend setting total time limits per item for any quasi-judicial matter such as a land use application or business license or permit application hearing. Application of a total time limit to a quasi-judicial matter could result in a violation of the due process rights of those who were not able to speak to the body during the time allotted.

The Act precludes the body from prohibiting public criticism of the policies, procedures, programs, or services of the agency or the acts or omissions of the city council (Section 54954.3 (c)). This does not mean that a member of the public may say anything. If the topic of the public's comments is not within the subject matter jurisdiction of the agency, the member of the public can be cut off.

The body also may adopt reasonable rules of decorum for its meetings which preclude a speaker from disrupting, disturbing or otherwise impeding the orderly conduct of public meetings. Also, the right to publicly criticize a public official does not include the right to slander that official, though the line between criticism and slander is often difficult to determine in the heat of the moment. Care must be given to avoid violating the speech rights of speakers by suppressing opinions relevant to the business of the body.

The use of profanity may be a basis for stopping a speaker. However, it will depend upon what profane words or comments are made and the context of those comments in determining whether it rises to the level of impeding the orderly conduct of a meeting. While terms such as "damn" and "hell" may have been disrupting words thirty years ago, today's standards seem to accept a stronger range of foul language. Therefore, if the chair is going to rule someone out of order for profanity, the chair should make sure the language is truly objectionable *and* that it causes a disturbance or disruption in the proceeding before the chair cuts off the speaker.

4. Discussion of Non-Agenda Items

A body may not *take action or discuss* any item that does not appear on the posted agenda (Section 54954.2).

There are two exceptions to this rule. The first is if the body determines by majority vote that an emergency situation exists. The term "emergency" is limited to work stoppages or crippling disasters (Section 54956.5). The second exception is if the body finds by a two-thirds vote of those present, or if less than two-thirds of the body is present, by unanimous vote, that there is a need to take immediate action on an item and the need for action came to the attention of the local agency subsequent to the posting of the agenda (Section 54954.2 (b)). This means that if four members of a five-member body are present, three votes are required to add the item; if only three are present, a unanimous vote is required.

In addition to these exceptions, there are several *limited* exceptions to the no discussion on non-agenda items rule. Those exceptions are:

- Members of the legislative body or staff may briefly respond to statements made or questions posed by persons during public comment periods;
- Members or staff may ask questions for clarification and provide a reference to staff or other resources for factual information;
- Members or staff may make a brief announcement, ask a question or make a brief report on his or her own activities;
- Members may, subject to the procedural rules of the legislative body, request staff to report back to the legislative body at a subsequent meeting concerning any matter; and
- The legislative body may itself as a body, subject to the rules of procedures of the legislative body, take action to direct staff to place a matter of business on a future agenda.

The body may not discuss non-agenda items to any significant degree under these exceptions. The comments *must* be brief. These exceptions do not allow long or wide-ranging question and answer sessions between the public and city council or between legislative body and staff.

When the body is considering whether to direct staff to add an item to a subsequent agenda, these exceptions do not allow the body to discuss the merits of the matter or to engage in a debate about the underlying issue.

To protect the body from problems in this area, legislative bodies may wish to adopt a rule that any one member may request an item to be placed on a subsequent agenda, so that discussion of the merits of the issue can be easily avoided. If the legislative body does not wish to adopt this rule, then the body's consideration and vote on the matter must take place with virtually no discussion.

It is important to follow these exceptions carefully and interpret them narrowly because the city would not want to have an important and complex action tainted by a non-agendized discussion of the item.

5. The public's right to photograph, videotape, tape-record and broadcast open meetings

The public has the right to videotape or broadcast a public meeting or to make a motion picture or still camera record of such meeting (Section 54953.5). However, a body may prohibit or limit recording of a meeting if the body finds that the recording cannot continue without noise, illumination, or obstruction of a view that constitutes, or would constitute, a disruption of the proceedings (Section 54953.5). These grounds would appear to preclude a finding based on nonphysical grounds such as breach of decorum or mental disturbance.

Any audio or video tape record of an open and public meeting that is made, for whatever purpose, by or at the direction of the city is a public record and is subject to inspection by the public consistent with the requirements of the Public Records Act. The city must not destroy the tape or film record of the open and public meeting for at least 30 days following the date of the taping or recording. Inspection of the audiotape or videotape must be made available to the public for free on equipment provided by the city (Section 54953.5).

If a member of the public requests a duplicate of the audio or videotape, the city must provide such copy. If the city has an audiotape or videotape duplication machine, the city must provide the copy on its own machine. If the city does not have such a machine, the city must send it out to a business that can make a copy. The city may charge a fee to cover the cost of duplication.

The Brown Act requires written material distributed to a majority of the body by *any person* to be provided to the public without delay. If the material is distributed during the meeting and prepared by the local agency, it must be available for public inspection at the meeting. If it is distributed during the meeting by a member of the public, it must be made available for public inspection after the meeting (Section 54957.5).

One problem in applying this rule arises when written materials are distributed directly to a majority of the body without knowledge of City staff, or even without the members knowing that a majority has received it. The law still requires these materials to be treated as public records. Thus, it is a good idea for at least one member of the body to ensure that staff gets a copy of the document so that copies can be made for the city's records and for members of the public who request a copy.

F. Closed Sessions

The Brown Act allows a legislative body during a meeting to convene a closed session in order to meet privately with its advisors on specifically enumerated topics. Sometimes people refer to closed sessions as "executive sessions," a holdover term from the Brown Act's early days. Examples of business which may be conducted in closed session include personnel evaluations or labor negotiations, pending litigation, and real estate negotiations (See Sections 54956.7 through 54957 and Sections 54957.6 and 54957.8). Political sensitivity of an item is not a lawful reason for a closed session discussion.

The Brown Act requires that closed session business be described on the public agenda. And, there is a "bonus" of sorts for using prescribed language to describe litigation closed sessions in that legal challenges to the adequacy of the description are precluded (Section 54954.5). This so-called "safe harbor" encourages cities to use a very similar agenda format. The legislative body must identify the City's negotiator in open session before going into closed session to discuss either real estate negotiations or labor negotiations.

The legislative body must reconvene the public meeting after a closed session and publicly report specified closed session actions and the vote taken on those actions (Section 54957.1). There are limited exceptions for certain kinds of litigation decisions, and to protect the victims of sexual misconduct or child abuse.

Contracts, settlement agreements or other documents that are finally approved or adopted in closed session must be provided at the time the closed session ends to any person who has made a standing request for all documentation in connection with a request for notice of meetings (typically members of the media) and to any person who makes a request within 24 hours of the posting of the agenda, if the requestor is present when the closed session ends (Section 54957.1).

The Brown Act also includes detailed requirements describing when litigation is considered "pending" for the purposes of a closed session (Section 54956.9). These requirements involve detailed factual determinations that will probably be made in the first instance by the City Attorney.

Roberts v. City of Palmdale, 5 Cal.4th 363 (1993), a California Supreme case, affirms the confidentiality of attorney-client memoranda. See also Section 54956.9(b)(3)(F) with respect to privileged communications regarding pending litigation.

Closed sessions may be started in a location different from the usual meeting place as long as the location is noted on the agenda and the public can be present when the meeting first begins. Moreover, public comment on closed session items must be allowed before convening the closed session.

One perennial area of confusion is whether a body may discuss salary and benefits of an individual employee (such as a city manager) as part of an evaluation session under Section 54957. It may not. However, the body may designate a negotiator to negotiate with that employee and meet with its negotiator in closed session under Section 54957.6 to provide directions. The employee in question may not be present in such a closed session.

G. Enforcement

There are both civil remedies and criminal misdemeanor penalties for Brown Act violations. The civil remedies include injunctions against further violations, orders nullifying any unlawful action, and orders determining the validity of any rule to penalize or discourage the expression of a member of the legislative body (Section 54960.1). The provision relating to efforts to penalize expression may come up in the context of measures by the legislative body to censure or penalize one of its members for breaching confidentiality or other violations. This area of law is charged with difficult free speech and attorney-client privilege issues. The tape recording of closed sessions is not required unless the court orders such taping after finding a closed session violation (Section 54960).

Prior to filing suit to invalidate an action taken in violation of the Brown Act, the complaining party must make a written demand on the legislative body to cure or correct the alleged violation. The written demand must be made within 90 days after the challenged action was taken in open session unless the violation involves the agenda requirements under Section 54954.2, in which case the written demand must be made within 30 days. The legislative body is required to cure or correct the challenged action and inform the party who filed the demand of its correcting actions, or its decision not to cure or correct, within 30 days. A suit must be filed by the complaining party within 15 days after receipt of the written notice from the legislative body, or if there is no written response, within 15 days after the 30-day cure period expires.

Any person may also seek declaratory and injunctive relief to find a past practice of a legislative body to constitute a violation of the Brown Act (Section 54960). In order to do so, the person must first send a "cease and desist" letter to the local agency, requesting that the practice cease. If the agency replies within a designated time, and disavows the practice, no lawsuit may be initiated. However, if the agency fails to reply or declares its intent to continue the practice, the lawsuit seeking to declare the practice a violation of the Brown Act may be filed, and attorney fees will be granted in the event the practice is found to violate the Act.

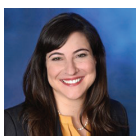
A member of a legislative body will not be criminally liable for a violation of the Brown Act unless the member intends to deprive the public of information to which the member knows or has reason to know the public is entitled under the Brown Act (Section 54959). This standard became effective in 1994 and is a different standard from most criminal standards. Until it is applied and interpreted by a court, it is not clear what type of evidence will be necessary to prosecute a Brown Act violation.

Under Section 54963, it is a violation of the Brown Act for any person to disclose confidential information acquired in a closed session. This section enumerates several nonexclusive remedies available to punish persons making such disclosures and to prevent future disclosures.

H. Conclusion

The Brown Act contains many rules and some ambiguities; it can be confusing and compliance can be difficult. In the event that you have any questions regarding any provision of the law, you should contact your City Attorney.

Please contact either of today's presenters if you would like more details on these issues and how your agency can address them:



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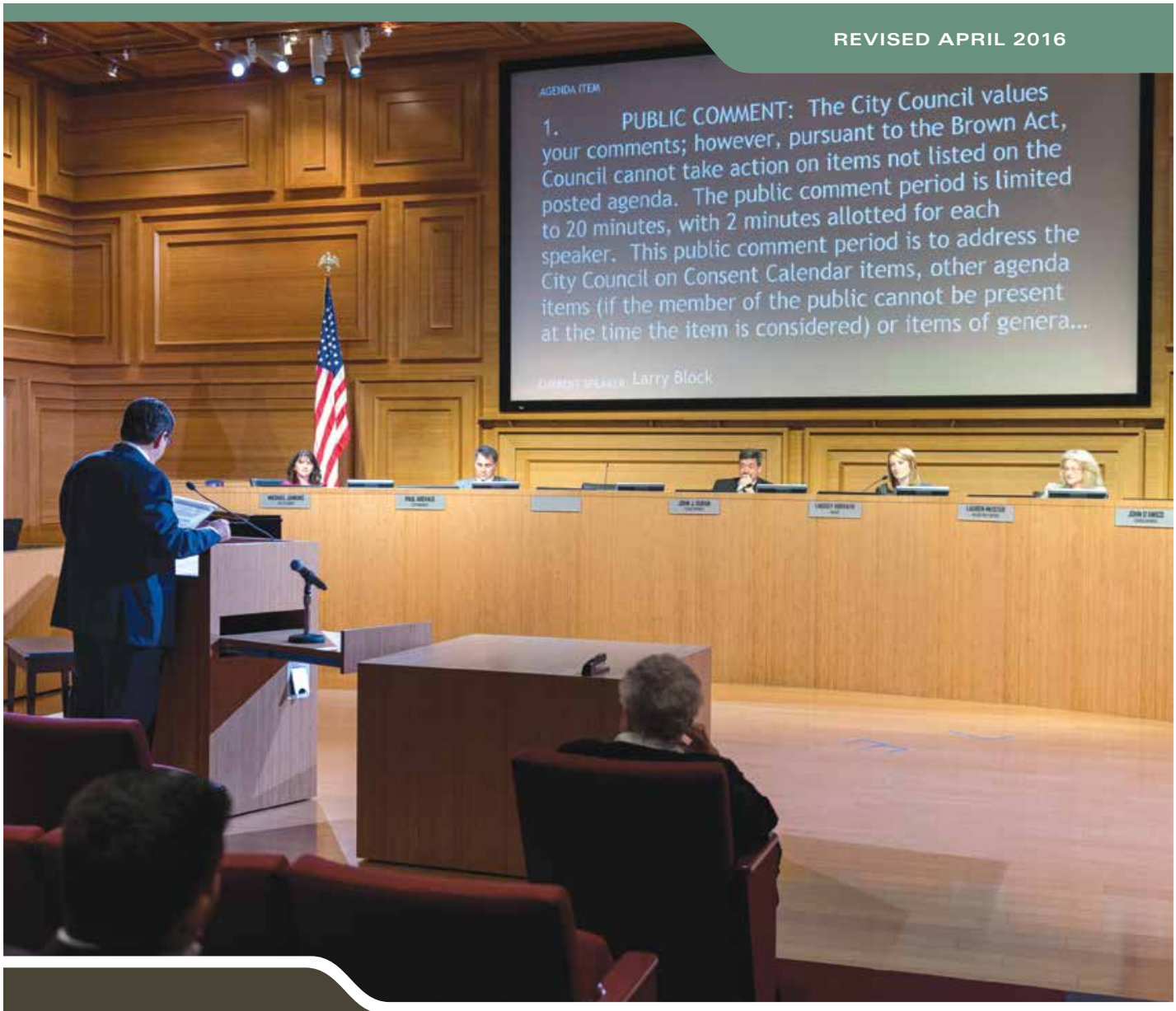

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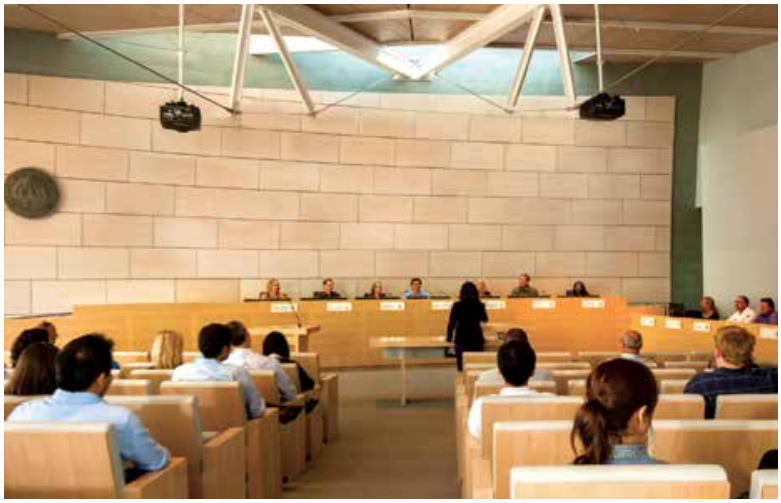

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IT IS THE PEOPLE'S BUSINESS

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Chapter 1

IT IS THE PEOPLE'S BUSINESS

The right of access

Two key parts of the Brown Act have not changed since its adoption in 1953. One is the Brown Act's initial section, declaring the Legislature's intent:

"In enacting this chapter, the Legislature finds and declares that the public commissions, boards and councils and the other public agencies in this State exist to aid in the conduct of the people's business. It is the intent of the law that their actions be taken openly and that their deliberations be conducted openly."

"The people of this State do not yield their sovereignty to the agencies which serve them. The people, in delegating authority, do not give their public servants the right to decide what is good for the people to know and what is not good for them to know. The people insist on remaining informed so that they may retain control over the instruments they have created."[1]

The people reconfirmed that intent 50 years later in the November 2004 election by adopting Proposition 59, amending the California Constitution to include a public right of access to government information:

> *"The people have the right of access to information concerning the conduct of the people's business, and, therefore, the meetings of public bodies and the writings of public officials and agencies shall be open to public scrutiny."*[2]

PRACTICE TIP: The key to the Brown Act is a single sentence. In summary, all meetings shall be **open and public** except when the Brown Act authorizes otherwise.

The Brown Act's other unchanged provision is a single sentence:

> *"All meetings of the legislative body of a local agency shall be open and public, and all persons shall be permitted to attend any meeting of the legislative body of a local agency, except as otherwise provided in this chapter."*[3]

That one sentence is by far the most important of the entire Brown Act. If the opening is the soul, that sentence is the heart of the Brown Act.

Broad coverage

The Brown Act covers members of virtually every type of local government body, elected or appointed, decision-making or advisory. Some types of private organizations are covered, as are newly-elected members of a legislative body, even before they take office.

Similarly, meetings subject to the Brown Act are not limited to face-to-face gatherings. They also include any communication medium or device through which a majority of a legislative body

discusses, deliberates or takes action on an item of business outside of a noticed meeting. They include meetings held from remote locations by teleconference.

New communication technologies present new Brown Act challenges. For example, common email practices of forwarding or replying to messages can easily lead to a serial meeting prohibited by the Brown Act, as can participation by members of a legislative body in an internet chatroom or blog dialogue. Communicating during meetings using electronic technology (such as laptop computers, tablets, or smart phones) may create the perception that private communications are influencing the outcome of decisions; some state legislatures have banned the practice. On the other hand, widespread cablecasting and web streaming of meetings has greatly expanded public access to the decision-making process.

Narrow exemptions

The express purpose of the Brown Act is to assure that local government agencies conduct the public's business openly and publicly. Courts and the California Attorney General usually broadly construe the Brown Act in favor of greater public access and narrowly construe exemptions to its general rules.[4]

Generally, public officials should think of themselves as living in glass houses, and that they may only draw the curtains when it is in the public interest to preserve confidentiality. Closed sessions may be held only as specifically authorized by the provisions of the Brown Act itself.

The Brown Act, however, is limited to meetings among a majority of the members of multi-member government bodies when the subject relates to local agency business. It does not apply to independent conduct of individual decision-makers. It does not apply to social, ceremonial, educational, and other gatherings as long as a majority of the members of a body do not discuss issues related to their local agency's business. Meetings of temporary advisory committees — as distinguished from standing committees — made up solely of less than a quorum of a legislative body are not subject to the Brown Act.

The law does not apply to local agency staff or employees, but they may facilitate a violation by acting as a conduit for discussion, deliberation, or action by the legislative body.[5]

The law, on the one hand, recognizes the need of individual local officials to meet and discuss matters with their constituents. On the other hand, it requires — with certain specific exceptions to protect the community and preserve individual rights — that the decision-making process be public. Sometimes the boundary between the two is not easy to draw.

PRACTICE TIP: Think of the government's house as being made of glass. The curtains may be drawn only to further the public's interest. A local policy on the use of laptop computers, tablets, and smart phones during Brown Act meetings may help avoid problems.

Public participation in meetings

In addition to requiring the public's business to be conducted in open, noticed meetings, the Brown Act also extends to the public the right to participate in meetings. Individuals, lobbyists, and members of the news media possess the right to attend, record, broadcast, and participate in public meetings. The public's participation is further enhanced by the Brown Act's requirement that a meaningful agenda be posted in advance of meetings, by limiting discussion and action to matters listed on the agenda, and by requiring that meeting materials be made available.

Legislative bodies may, however, adopt reasonable regulations on public testimony and the conduct of public meetings, including measures to address disruptive conduct and irrelevant speech.

Controversy

Not surprisingly, the Brown Act has been a source of confusion and controversy since its inception. News media and government watchdogs often argue the law is toothless, pointing out that there has never been a single criminal conviction for a violation. They often suspect that closed sessions are being misused.

Public officials complain that the Brown Act makes it difficult to respond to constituents and requires public discussions of items better discussed privately — such as why a particular person should not be appointed to a board or commission. Many elected officials find the Brown Act inconsistent with their private business experiences. Closed meetings can be more efficient; they eliminate grandstanding and promote candor. The techniques that serve well in business — the working lunch, the sharing of information through a series of phone calls or emails, the backroom conversations and compromises — are often not possible under the Brown Act.

As a matter of public policy, California (along with many other states) has concluded that there is more to be gained than lost by conducting public business in the open. Government behind closed doors may well be efficient and business-like, but it may be perceived as unresponsive and untrustworthy.

PRACTICE TIP: Transparency is a foundational value for ethical government practices. The Brown Act is a floor, not a ceiling, for conduct.

Beyond the law — good business practices

Violations of the Brown Act can lead to invalidation of an agency's action, payment of a challenger's attorney fees, public embarrassment, even criminal prosecution. But the Brown Act is a floor, not a ceiling for conduct of public officials. This guide is focused not only on the Brown Act as a minimum standard, but also on meeting practices or activities that, legal or not, are likely to create controversy. Problems may crop up, for example, when agenda descriptions are too brief or vague, when an informal get-together takes on the appearance of a meeting, when an agency conducts too much of its business in closed session or discusses matters in closed session that are beyond the authorized scope, or when controversial issues arise that are not on the agenda.

The Brown Act allows a legislative body to adopt practices and requirements for greater access to meetings for itself and its subordinate committees and bodies that are more stringent than the law itself requires.[6] Rather than simply restate the basic requirements of the Brown Act, local open meeting policies should strive to anticipate and prevent problems in areas where the Brown Act does not provide full guidance. As with the adoption of any other significant policy, public comment should be solicited.

A local policy could build on these basic Brown Act goals:

- A legislative body's need to get its business done smoothly;
- The public's right to participate meaningfully in meetings, and to review documents used in decision-making at a relevant point in time;
- A local agency's right to confidentially address certain negotiations, personnel matters, claims and litigation; and
- The right of the press to fully understand and communicate public agency decision-making.

An explicit and comprehensive public meeting and information policy, especially if reviewed periodically, can be an important element in maintaining or improving public relations. Such a policy exceeds the absolute requirements of the law — but if the law were enough, this guide would be unnecessary. A narrow legalistic approach will not avoid or resolve potential controversies. An agency should consider going beyond the law, and look at its unique circumstances and determine if there is a better way to prevent potential problems and promote public trust. At the very least, local agencies need to think about how their agendas are structured in order to make Brown Act compliance easier. They need to plan carefully to make sure public participation fits smoothly into the process.

Achieving balance

The Brown Act should be neither an excuse for hiding the ball nor a mechanism for hindering efficient and orderly meetings. The Brown Act represents a balance among the interests of constituencies whose interests do not always coincide. It calls for openness in local government, yet should allow government to function responsively and productively.

There must be both adequate notice of what discussion and action is to occur during a meeting as well as a normal degree of spontaneity in the dialogue between elected officials and their constituents.

The ability of an elected official to confer with constituents or colleagues must be balanced against the important public policy prohibiting decision-making outside of public meetings.

In the end, implementation of the Brown Act must ensure full participation of the public and preserve the integrity of the decision-making process, yet not stifle government officials and impede the effective and natural operation of government.

PRACTICE TIP: The Brown Act should be viewed as a tool to facilitate the business of local government agencies. Local policies that go beyond the minimum requirements of law may help instill public confidence and avoid problems.

Historical note

In late 1951, *San Francisco Chronicle* reporter Mike Harris spent six weeks looking into the way local agencies conducted meetings. State law had long required that business be done in public, but Harris discovered secret meetings or caucuses were common. He wrote a 10-part series on "Your Secret Government" that ran in May and June 1952.

Out of the series came a decision to push for a new state open meeting law. Harris and Richard (Bud) Carpenter, legal counsel for the League of California Cities, drafted such a bill and Assembly Member Ralph M. Brown agreed to carry it. The Legislature passed the bill and Governor Earl Warren signed it into law in 1953.

The Ralph M. Brown Act, known as the Brown Act, has evolved under a series of amendments and court decisions, and has been the model for other open meeting laws — such as the Bagley-Keene Act, enacted in 1967 to cover state agencies.

Assembly Member Brown is best known for the open meeting law that carries his name. He was elected to the Assembly in 1942 and served 19 years, including the last three years as Speaker. He then became an appellate court justice.

ENDNOTES:

1 California Government Code section 54950

2 California Constitution, Art. 1, section 3(b)(1)

3 California Government Code section 54953(a)

4 This principle of broad construction when it furthers public access and narrow construction if a provision limits public access is also stated in the amendment to the State's Constitution adopted by Proposition 59 in 2004. California Constitution, Art. 1, section 3(b)(2).

5 California Government Code section 54952.2(b)(2) and (c)(1); *Wolfe v. City of Fremont* (2006) 144 Cal.App.4th 533

6 California Government Code section 54953.7

Updates to this publication responding to changes in the Brown Act or new court interpretations are available at **www.cacities.org/opengovernment**. A current version of the Brown Act may be found at www.leginfo.ca.gov.

Chapter 2

LEGISLATIVE BODIES

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Chapter 2

LEGISLATIVE BODIES

The Brown Act applies to the legislative bodies of local agencies. It defines "legislative body" broadly to include just about every type of decision-making body of a local agency.[1]

What is a "legislative body" of a local agency?

A "legislative body" includes:

- **The "governing body** of a local agency" and certain of its subsidiary bodies; "or any other local body created by state or federal statute."[2] This includes city councils, boards of supervisors, school boards and boards of trustees of special districts. A "local agency" is any city, county, city and county, school district, municipal corporation, successor agency to a redevelopment agency, district, political subdivision or other local public agency.[3] A housing authority is a local agency under the Brown Act even though it is created by and is an agent of the state.[4] The California Attorney General has opined that air pollution control districts and regional open space districts are also covered.[5] Entities created pursuant to joint powers agreements are also local agencies within the meaning of the Brown Act.[6]

PRACTICE TIP: The prudent presumption is that an advisory committee or task force is subject to the Brown Act. Even if one clearly is not, it may want to comply with the Brown Act. Public meetings may reduce the possibility of misunderstandings and controversy.

- **Newly-elected members** of a legislative body who have not yet assumed office must conform to the requirements of the Brown Act as if already in office.[7] Thus, meetings between incumbents and newly-elected members of a legislative body, such as a meeting between two outgoing members and a member-elect of a five-member body, could violate the Brown Act.

Q. On the morning following the election to a five-member legislative body of a local agency, two successful candidates, neither an incumbent, meet with an incumbent member of the legislative body for a celebratory breakfast. Does this violate the Brown Act?

A. *It might, and absolutely would if the conversation turns to agency business. Even though the candidates-elect have not officially been sworn in, the Brown Act applies. If purely a social event, there is no violation but it would be preferable if others were invited to attend to avoid the appearance of impropriety.*

- **Appointed bodies** — whether permanent or temporary, decision-making or advisory — including planning commissions, civil service commissions and other subsidiary committees, boards, and bodies. Volunteer groups, executive search committees, task forces, and blue ribbon committees created by formal action of the governing body are legislative bodies. When the members of two or more legislative bodies are appointed to serve on an entirely separate advisory group, the resulting body may be subject to the

Brown Act. In one reported case, a city council created a committee of two members of the city council and two members of the city planning commission to review qualifications of prospective planning commissioners and make recommendations to the council. The court held that their joint mission made them a legislative body subject to the Brown Act. Had the two committees remained separate; and met only to exchange information and report back to their respective boards, they would have been exempt from the Brown Act.[8]

- **Standing committees** of a legislative body, irrespective of their composition, which have either: (1) a continuing subject matter jurisdiction; or (2) a meeting schedule fixed by charter, ordinance, resolution, or formal action of a legislative body.[9] Even if it comprises less than a quorum of the governing body, a standing committee is subject to the Brown Act. For example, if a governing body creates long-term committees on budget and finance or on public safety, those are standing committees subject to the Brown Act. Further, according to the California Attorney General, function over form controls. For example, a statement by the legislative body that the advisory committee "shall not exercise continuing subject matter jurisdiction" or the fact that the committee does not have a fixed meeting schedule is not determinative.[10] "Formal action" by a legislative body includes authorization given to the agency's executive officer to appoint an advisory committee pursuant to agency-adopted policy.[11]
- The governing body of any **private organization** either: (1) created by the legislative body in order to exercise authority that may lawfully be delegated by such body to a private corporation, limited liability company or other entity; or (2) that receives agency funding and whose governing board includes a member of the legislative body of the local agency appointed by the legislative body as a full voting member of the private entity's governing board.[12] These include some nonprofit corporations created by local agencies.[13] If a local agency contracts with a private firm for a service (for example, payroll, janitorial, or food services), the private firm is not covered by the Brown Act.[14] When a member of a legislative body sits on a board of a private organization as a private person and is not appointed by the legislative body, the board will not be subject to the Brown Act. Similarly, when the legislative body appoints someone other than one of its own members to such boards, the Brown Act does not apply. Nor does it apply when a private organization merely receives agency funding.[15]

Q: The local chamber of commerce is funded in part by the city. The mayor sits on the chamber's board of directors. Is the chamber board a legislative body subject to the Brown Act?

A: *Maybe. If the chamber's governing documents require the mayor to be on the board and the city council appoints the mayor to that position, the board is a legislative body. If, however, the chamber board independently appoints the mayor to its board, or the mayor attends chamber board meetings in a purely advisory capacity, it is not.*

Q: If a community college district board creates an auxiliary organization to operate a campus bookstore or cafeteria, is the board of the organization a legislative body?

A: *Yes. But, if the district instead contracts with a private firm to operate the bookstore or cafeteria, the Brown Act would not apply to the private firm.*

- **Certain types of hospital operators.** A lessee of a hospital (or portion of a hospital)

PRACTICE TIP: It can be difficult to determine whether a subcommittee of a body falls into the category of a standing committee or an exempt temporary committee. Suppose a committee is created to explore the renewal of a franchise or a topic of similarly limited scope and duration. Is it an exempt temporary committee or a non-exempt standing committee? The answer may depend on factors such as how meeting schedules are determined, the scope of the committee's charge, or whether the committee exists long enough to have "continuing jurisdiction."

first leased under Health and Safety Code subsection 32121(p) after January 1, 1994, which exercises "material authority" delegated to it by a local agency, whether or not such lessee is organized and operated by the agency or by a delegated authority.[16]

What is not a "legislative body" for purposes of the Brown Act?

- A temporary advisory committee composed **solely of less than a quorum** of the legislative body that serves a limited or single purpose, that is not perpetual, and that will be dissolved once its specific task is completed is not subject to the Brown Act.[17] Temporary committees are sometimes called *ad hoc* committees, a term not used in the Brown Act. Examples include an advisory committee composed of less than a quorum created to interview candidates for a vacant position or to meet with representatives of other entities to exchange information on a matter of concern to the agency, such as traffic congestion.[18]
- Groups advisory to a single decision-maker or appointed by staff are not covered. The Brown Act applies only to committees created by formal action of the legislative body and not to committees created by others. A committee advising a superintendent of schools would not be covered by the Brown Act. However, the same committee, if created by formal action of the school board, would be covered.[19]

  Q. A member of the legislative body of a local agency informally establishes an advisory committee of five residents to advise her on issues as they arise. Does the Brown Act apply to this committee?

  A. *No, because the committee has not been established by formal action of the legislative body.*

  Q. During a meeting of the city council, the council directs the city manager to form an advisory committee of residents to develop recommendations for a new ordinance. The city manager forms the committee and appoints its members; the committee is instructed to direct its recommendations to the city manager. Does the Brown Act apply to this committee?

  A. *Possibly, because the direction from the city council might be regarded as a formal action of the body notwithstanding that the city manager controls the committee.*

- Individual decision makers who are not elected or appointed members of a legislative body are not covered by the Brown Act. For example, a disciplinary hearing presided over by a department head or a meeting of agency department heads are not subject to the Brown Act since such assemblies are not those of a legislative body.[20]
- Public employees, each acting individually and not engaging in collective deliberation on a specific issue, such as the drafting and review of an agreement, do not constitute a legislative body under the Brown Act, even if the drafting and review process was established by a legislative body.[21]
- County central committees of political parties are also not Brown Act bodies.[22]

ENDNOTES:

1 *Taxpayers for Livable Communities v. City of Malibu* (2005) 126 Cal.App.4th 1123, 1127

2 California Government Code section 54952(a) and (b)

3 California Government Code section 54951; Health and Safety Code section 34173(g) (successor agencies to former redevelopment agencies subject to the Brown Act). But see Education Code section 35147, which exempts certain school councils and school site advisory committees from the Brown Act and imposes upon them a separate set of rules.

4 *Torres v. Board of Commissioners of Housing Authority of Tulare County* (1979) 89 Cal.App.3d 545, 549-550

5 71 Ops.Cal.Atty.Gen. 96 (1988); 73 Ops.Cal.Atty.Gen. 1 (1990)

6 *McKee v. Los Angeles Interagency Metropolitan Police Apprehension Crime Task Force* (2005) 134 Cal. App.4th 354, 362

7 California Government Code section 54952.1

8 *Joiner v. City of Sebastopol* (1981) 125 Cal.App.3d 799, 804-805

9 California Government Code section 54952(b)

10 79 Ops.Cal.Atty.Gen. 69 (1996)

11 *Frazer v. Dixon Unified School District* (1993) 18 Cal.App.4th 781, 793

12 California Government Code section 54952(c)(1). Regarding private organizations that receive local agency funding, the same rule applies to a full voting member appointed prior to February 9, 1996 who, after that date, is made a non-voting board member by the legislative body. California Government Code section 54952(c)(2)

13 California Government Code section 54952(c)(1)(A); International Longshoremen's and Warehousemen's Union v. Los Angeles Export Terminal, Inc. (1999) 69 Cal.App.4th 287, 300; Epstein v. Hollywood Entertainment Dist. II Business Improvement District (2001) 87 Cal.App.4th 862, 876; see also 85 Ops.Cal.Atty.Gen. 55 (2002)

14 *International Longshoremen's and Warehousemen's Union v. Los Angeles Export Terminal* (1999) 69 Cal. App.4th 287, 300 fn. 5

15 "*The Brown Act, Open Meetings for Local Legislative Bodies,*" California Attorney General's Office (2003), p. 7

16 California Government Code section 54952(d)

17 California Government Code section 54952(b); see also *Freedom Newspapers, Inc. v. Orange County Employees Retirement System Board of Directors* (1993) 6 Cal.4th 821, 832.

18 *Taxpayers for Livable Communities v. City of Malibu* (2005) 126 Cal.App.4th 1123, 1129

19 56 Ops.Cal.Atty.Gen. 14, 16-17 (1973)

20 *Wilson v. San Francisco Municipal Railway* (1973) 29 Cal.App.3d 870, 878-879

21 *Golightly v. Molina* (2014) 229 Cal.App.4th 1501, 1513

22 59 Ops.Cal.Atty.Gen. 162, 164 (1976)

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Chapter 3

MEETINGS

The Brown Act only applies to meetings of local legislative bodies. The Brown Act defines a meeting as: "… and any congregation of a majority of the members of a legislative body at the same time and location, including teleconference location as permitted by Section 54953, to hear, discuss, deliberate, or take any action on any item that is within the subject matter jurisdiction of the legislative body."[1] The term "meeting" is not limited to gatherings at which action is taken but includes deliberative gatherings as well. A hearing before an individual hearing officer is not a meeting under the Brown Act because it is not a hearing before a legislative body.[2]

Brown Act meetings

Brown Act meetings include a legislative body's regular meetings, special meetings, emergency meetings, and adjourned meetings.

- **"Regular meetings"** are meetings occurring at the dates, times, and location set by resolution, ordinance, or other formal action by the legislative body and are subject to 72-hour posting requirements.[3]
- **"Special meetings"** are meetings called by the presiding officer or majority of the legislative body to discuss only discrete items on the agenda under the Brown Act's notice requirements for special meetings and are subject to 24-hour posting requirements.[4]
- **"Emergency meetings"** are a limited class of meetings held when prompt action is needed due to actual or threatened disruption of public facilities and are held on little notice.[5]
- **"Adjourned meetings"** are regular or special meetings that have been adjourned or re-adjourned to a time and place specified in the order of adjournment, with no agenda required for regular meetings adjourned for less than five calendar days as long as no additional business is transacted.[6]

Six exceptions to the meeting definition

The Brown Act creates six exceptions to the meeting definition:[7]

Individual Contacts

The first exception involves individual contacts between a member of the legislative body and any other person. The Brown Act does not limit a legislative body member acting on his or her own. This exception recognizes the right to confer with constituents, advocates, consultants, news reporters, local agency staff, or a colleague.

Individual contacts, however, cannot be used to do in stages what would be prohibited in one step. For example, a series of individual contacts that leads to discussion, deliberation, or action among a majority of the members of a legislative body is prohibited. Such serial meetings are discussed below.

Conferences

The second exception allows a legislative body majority to attend a conference or similar gathering open to the public that addresses issues of general interest to the public or to public agencies of the type represented by the legislative body.

Among other things, this exception permits legislative body members to attend annual association conferences of city, county, school, community college, and other local agency officials, so long as those meetings are open to the public. However, a majority of members cannot discuss among themselves, other than as part of the scheduled program, business of a specific nature that is within their local agency's subject matter jurisdiction.

Community Meetings

The third exception allows a legislative body majority to attend an open and publicized meeting held by another organization to address a topic of local community concern. A majority cannot discuss among themselves, other than as part of the scheduled program, business of a specific nature that is within the legislative body's subject matter jurisdiction. Under this exception, a legislative body majority may attend a local service club meeting or a local candidates' night if the meetings are open to the public.

> **"I see we have four distinguished members of the city council at our meeting tonight," said the chair of the Environmental Action Coalition. "I wonder if they have anything to say about the controversy over enacting a slow growth ordinance?"**
>
> *The Brown Act permits a majority of a legislative body to attend and speak at an open and publicized meeting conducted by another organization. The Brown Act may nevertheless be violated if a majority discusses, deliberates, or takes action on an item during the meeting of the other organization. There is a fine line between what is permitted and what is not; hence, members should exercise caution when participating in these types of events.*

Q. The local chamber of commerce sponsors an open and public candidate debate during an election campaign. Three of the five agency members are up for re-election and all three participate. All of the candidates are asked their views of a controversial project scheduled for a meeting to occur just after the election. May the three incumbents answer the question?

A. *Yes, because the Brown Act does not constrain the incumbents from expressing their views regarding important matters facing the local agency as part of the political process the same as any other candidates.*

Other Legislative Bodies

The fourth exception allows a majority of a legislative body to attend an open and publicized meeting of: (1) another body of the local agency; and (2) a legislative body of another local agency.[8] Again, the majority cannot discuss among themselves, other than as part of the scheduled meeting, business of a specific nature that is within their subject matter jurisdiction. This exception allows, for example, a city council or a majority of a board of supervisors to attend a controversial meeting of the planning commission.

Nothing in the Brown Act prevents the majority of a legislative body from sitting together at such a meeting. They may choose not to, however, to preclude any possibility of improperly discussing local agency business and to avoid the appearance of a Brown Act violation. Further, aside from the Brown Act, there may be other reasons, such as due process considerations, why the members should avoid giving public testimony or trying to influence the outcome of proceedings before a subordinate body.

Q. The entire legislative body intends to testify against a bill before the Senate Local Government Committee in Sacramento. Must this activity be noticed as a meeting of the body?

A. *No, because the members are attending and participating in an open meeting of another governmental body which the public may attend.*

Q. The members then proceed upstairs to the office of their local Assembly member to discuss issues of local interest. Must this session be noticed as a meeting and be open to the public?

A. *Yes, because the entire body may not meet behind closed doors except for proper closed sessions. The same answer applies to a private lunch or dinner with the Assembly member.*

Standing Committees

The fifth exception authorizes the attendance of a majority at an open and noticed meeting of a standing committee of the legislative body, provided that the legislative body members who are not members of the standing committee attend only as observers (meaning that they cannot speak or otherwise participate in the meeting).[9]

Q. The legislative body establishes a standing committee of two of its five members, which meets monthly. A third member of the legislative body wants to attend these meetings and participate. May she?

A. *She may attend, but only as an observer; she may not participate.*

Social or Ceremonial Events

The final exception permits a majority of a legislative body to attend a purely social or ceremonial occasion. Once again, a majority cannot discuss business among themselves of a specific nature that is within the subject matter jurisdiction of the legislative body.

Nothing in the Brown Act prevents a majority of members from attending the same football game, party, wedding, funeral, reception, or farewell. The test is not whether a majority of a legislative body attends the function, but whether business of a specific nature within the subject matter jurisdiction of the body is discussed. So long as no such business is discussed, there is no violation of the Brown Act.

Grand Jury Testimony

In addition, members of a legislative body, either individually or collectively, may give testimony in private before a grand jury.[10] This is the equivalent of a seventh exception to the Brown Act's definition of a "meeting."

Collective briefings

None of these exceptions permits a majority of a legislative body to meet together with staff in advance of a meeting for a collective briefing. Any such briefings that involve a majority of the body in the same place and time must be open to the public and satisfy Brown Act meeting notice and agenda requirements.

Retreats or workshops of legislative bodies

Gatherings by a majority of legislative body members at the legislative body's retreats, study sessions, or workshops are covered under the Brown Act. This is the case whether the retreat, study session, or workshop focuses on long-range agency planning, discussion of critical local issues, or team building and group dynamics.[11]

Q. The legislative body wants to hold a team-building session to improve relations among its members. May such a session be conducted behind closed doors?

A. *No, this is not a proper subject for a closed session, and there is no other basis to exclude the public. Council relations are a matter of public business.*

Serial meetings

One of the most frequently asked questions about the Brown Act involves serial meetings. At any one time, such meetings involve only a portion of a legislative body, but eventually involve a majority. The Brown Act provides that "[a] majority of the members of a legislative body shall not, outside a meeting … use a series of communications of any kind, directly or through intermediaries, to discuss, deliberate, or take action on any item of business that is within the subject matter jurisdiction of the legislative body."[12] The problem with serial meetings is the process, which deprives the public of an opportunity for meaningful observation of and participation in legislative body decision-making.

The serial meeting may occur by either a "daisy chain" or a "hub and spoke" sequence. In the daisy chain scenario, Member A contacts Member B, Member B contacts Member C, Member C contacts Member D and so on, until a quorum has discussed, deliberated, or taken action on an item within the legislative body's subject matter jurisdiction. The hub and spoke process involves at least two scenarios. In the first scenario, Member A (the hub) sequentially contacts Members B, C, and D and so on (the spokes), until a quorum has been contacted. In the second scenario, a staff member (the hub), functioning as an intermediary for the legislative body or one of its members, communicates with a majority of members (the spokes) one-by-one for for discussion, deliberation, or a decision on a proposed action.[13] Another example of a serial meeting is when a chief executive officer (the hub) briefs a majority of members (the spokes) prior to a formal meeting and, in the process, information about the members' respective views is revealed. Each of these scenarios violates the Brown Act.

A legislative body member has the right, if not the duty, to meet with constituents to address their concerns. That member also has the right to confer with a colleague (but not with a majority of the body, counting the member) or appropriate staff about local agency business. An employee or official of a local agency may engage in separate conversations or communications outside of an open and noticed meeting "with members of a legislative body in order to answer questions or provide information regarding a matter that is within the subject matter jurisdiction of the local agency if that person does not communicate to members of the legislative body the comments or position of any other member or members of the legislative body."[14]

The Brown Act has been violated, however, if several one-on-one meetings or conferences leads to a discussion, deliberation, or action by a majority. In one case, a violation occurred when a quorum of a city council, by a letter that had been circulated among members outside of a formal meeting, directed staff to take action in an eminent domain proceeding.[15]

A unilateral written communication to the legislative body, such as an informational or advisory memorandum, does not violate the Brown Act.[16] Such a memo, however, may be a public record.[17]

> **The phone call was from a lobbyist. "Say, I need your vote for that project in the south area. How about it?"**
>
> **"Well, I don't know," replied Board Member Aletto. "That's kind of a sticky proposition. You sure you need my vote?"**
>
> **"Well, I've got Bradley and Cohen lined up and another vote leaning. With you I'd be over the top."**
>
> **Moments later, the phone rings again. "Hey, I've been hearing some rumbles on that south area project," said the newspaper reporter. "I'm counting noses. How are you voting on it?"**

Neither the lobbyist nor the reporter has violated the Brown Act, but they are facilitating

a violation. The board member may have violated the Brown Act by hearing about the positions of other board members and indeed coaxing the lobbyist to reveal the other board members' positions by asking "You sure you need my vote?" The prudent course is to avoid such leading conversations and to caution lobbyists, staff, and news media against revealing such positions of others.

> **The mayor sat down across from the city manager. "From now on," he declared, "I want you to provide individual briefings on upcoming agenda items. Some of this material is very technical, and the council members don't want to sound like idiots asking about it in public. Besides that, briefings will speed up the meeting."**

Agency employees or officials may have separate conversations or communications outside of an open and noticed meeting "with members of a legislative body in order to answer questions or provide information regarding a matter that is within the subject matter jurisdiction of the local agency if that person does not communicate to members of the legislative body the comments or position of any other member or members of the legislative body."[18] Members should always be vigilant when discussing local agency business with anyone to avoid conversations that could lead to a discussion, deliberation or action taken among the majority of the legislative body.

> **"Thanks for the information," said Council Member Kim. "These zoning changes can be tricky, and now I think I'm better equipped to make the right decision."**
>
> **"Glad to be of assistance," replied the planning director. "I'm sure Council Member Jones is OK with these changes. How are you leaning?"**
>
> **"Well," said Council Member Kim, "I'm leaning toward approval. I know that two of my colleagues definitely favor approval."**

The planning director should not disclose Jones' prospective vote, and Kim should not disclose the prospective votes of two of her colleagues. Under these facts, there likely has been a serial meeting in violation of the Brown Act.

PRACTICE TIP: When briefing legislative body members, staff must exercise care not to disclose other members' views and positions.

Q. The agency's website includes a chat room where agency employees and officials participate anonymously and often discuss issues of local agency business. Members of the legislative body participate regularly. Does this scenario present a potential for violation of the Brown Act?

A. *Yes, because it is a technological device that may serve to allow for a majority of members to discuss, deliberate, or take action on matters of agency business.*

Q. A member of a legislative body contacts two other members on a five-member body relative to scheduling a special meeting. Is this an illegal serial meeting?

A. *No, the Brown Act expressly allows a majority of a body to call a special meeting, though the members should avoid discussing the merits of what is to be taken up at the meeting.*

Particular care should be exercised when staff briefings of legislative body members occur by email because of the ease of using the "reply to all" button that may inadvertently result in a Brown Act violation.

Informal gatherings

Often members are tempted to mix business with pleasure — for example, by holding a post-meeting gathering. Informal gatherings at which local agency business is discussed or transacted violate the law if they are not conducted in conformance with the Brown Act.[19] A luncheon gathering in a crowded dining room violates the Brown Act if the public does not have an opportunity to attend, hear, or participate in the deliberations of members.

> **Thursday at 11:30 a.m., as they did every week, the board of directors of the Dry Gulch Irrigation District trooped into Pop's Donut Shoppe for an hour of talk and fellowship. They sat at the corner window, fronting on Main and Broadway, to show they had nothing to hide. Whenever he could, the managing editor of the weekly newspaper down the street hurried over to join the board.**

A gathering like this would not violate the Brown Act if board members scrupulously avoided talking about irrigation district issues — which might be difficult. This kind of situation should be avoided. The public is unlikely to believe the board members could meet regularly without discussing public business. A newspaper executive's presence in no way lessens the potential for a violation of the Brown Act.

Q. The agency has won a major victory in the Supreme Court on an issue of importance. The presiding officer decides to hold an impromptu press conference in order to make a statement to the print and broadcast media. All the other members show up in order to make statements of their own and be seen by the media. Is this gathering illegal?

A. *Technically there is no exception for this sort of gathering, but as long as members do not state their intentions as to future action to be taken and the press conference is open to the public, it seems harmless.*

Technological conferencing

Except for certain nonsubstantive purposes, such as scheduling a special meeting, a conference call including a majority of the members of a legislative body is an unlawful meeting. But, in an effort to keep up with information age technologies, the Brown Act specifically allows a legislative body to use any type of teleconferencing to meet, receive public comment and testimony, deliberate, or conduct a closed session.[20] While the Brown Act contains specific requirements for conducting a teleconference, the decision to use teleconferencing is entirely discretionary with the body. No person has a right under the Brown Act to have a meeting by teleconference.

"Teleconference" is defined as "a meeting of a legislative body, the members of which are in different locations, connected by electronic means, through either

audio or video, or both."[21] In addition to the specific requirements relating to teleconferencing, the meeting must comply with all provisions of the Brown Act otherwise applicable. The Brown Act contains the following teleconferencing requirements:[22]

- Teleconferencing may be used for all purposes during any meeting;
- At least a quorum of the legislative body must participate from locations within the local agency's jurisdiction;
- Additional teleconference locations may be made available for the public;
- Each teleconference location must be specifically identified in the notice and agenda of the meeting, including a full address and room number, as may be applicable;
- Agendas must be posted at each teleconference location, even if a hotel room or a residence;
- Each teleconference location, including a hotel room or residence, must be accessible to the public and have technology, such as a speakerphone, to enable the public to participate;
- The agenda must provide the opportunity for the public to address the legislative body directly at each teleconference location; and
- All votes must be by roll call.

Q. A member on vacation wants to participate in a meeting of the legislative body and vote by cellular phone from her car while driving from Washington, D.C. to New York. May she?

A. *She may not participate or vote because she is not in a noticed and posted teleconference location.*

The use of teleconferencing to conduct a legislative body meeting presents a variety of issues beyond the scope of this guide to discuss in detail. Therefore, before teleconferencing a meeting, legal counsel for the local agency should be consulted.

Location of meetings

The Brown Act generally requires all regular and special meetings of a legislative body, including retreats and workshops, to be held within the boundaries of the territory over which the local agency exercises jurisdiction.[23]

An open and publicized meeting of a legislative body may be held outside of agency boundaries if the purpose of the meeting is one of the following:[24]

- Comply with state or federal law or a court order, or attend a judicial conference or administrative proceeding in which the local agency is a party;
- Inspect real or personal property that cannot be conveniently brought into the local agency's territory, provided the meeting is limited to items relating to that real or personal property;

Q. The agency is considering approving a major retail mall. The developer has built other similar malls, and invites the entire legislative body to visit a mall outside the jurisdiction. May the entire body go?

A. *Yes, the Brown Act permits meetings outside the boundaries of the agency for specified reasons and inspection of property is one such reason. The field trip must be treated as a meeting and the public must be allowed to attend.*

- Participate in multiagency meetings or discussions; however, such meetings must be held within the boundaries of one of the participating agencies, and all of those agencies must give proper notice;
- Meet in the closest meeting facility if the local agency has no meeting facility within its boundaries, or meet at its principal office if that office is located outside the territory over which the agency has jurisdiction;
- Meet with elected or appointed federal or California officials when a local meeting would be impractical, solely to discuss a legislative or regulatory issue affecting the local agency and over which the federal or state officials have jurisdiction;
- Meet in or nearby a facility owned by the agency, provided that the topic of the meeting is limited to items directly related to the facility; or
- Visit the office of its legal counsel for a closed session on pending litigation, when to do so would reduce legal fees or costs.[25]

In addition, the governing board of a school or community college district may hold meetings outside of its boundaries to attend a conference on nonadversarial collective bargaining techniques, interview candidates for school district superintendent, or interview a potential employee from another district.[26] A school board may also interview members of the public residing in another district if the board is considering employing that district's superintendent.

Similarly, meetings of a joint powers authority can occur within the territory of at least one of its member agencies, and a joint powers authority with members throughout the state may meet anywhere in the state.[27]

Finally, if a fire, flood, earthquake, or other emergency makes the usual meeting place unsafe, the presiding officer can designate another meeting place for the duration of the emergency. News media that have requested notice of meetings must be notified of the designation by the most rapid means of communication available.[28]

Endnotes:

1 California Government Code section 54952.2(a)
2 *Wilson v. San Francisco Municipal Railway* (1973) 29 Cal.App.3d 870
3 California Government Code section 54954(a)
4 California Government Code section 54956
5 California Government Code section 54956.5
6 California Government Code section 54955
7 California Government Code section 54952.2(c)
8 California Government Code section 54952.2(c)(4)
9 California Government Code section 54952.2(c)(6)
10 California Government Code section 54953.1
11 "*The Brown Act,*" California Attorney General (2003), p. 10
12 California Government Code section 54952.2(b)(1)
13 *Stockton Newspaper Inc. v. Redevelopment Agency* (1985) 171 Cal.App.3d 95
14 California Government Code section 54952.2(b)(2)
15 *Common Cause v. Stirling* (1983) 147 Cal.App.3d 518
16 *Roberts v. City of Palmdale* (1993) 5 Cal.4th 363
17 California Government Code section 54957.5(a)
18 California Government Code section 54952.2(b)(2)
19 California Government Code section 54952.2; 43 Ops.Cal.Atty.Gen. 36 (1964)
20 California Government Code section 54953(b)(1)
21 California Government Code section 54953(b)(4)
22 California Government Code section 54953
23 California Government Code section 54954(b)
24 California Government Code section 54954(b)(1)-(7)
25 94 Ops.Cal.Atty.Gen. 15 (2011)
26 California Government Code section 54954(c)
27 California Government Code section 54954(d)
28 California Government Code section 54954(e)

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Chapter 4

AGENDAS, NOTICES, AND PUBLIC PARTICIPATION

Effective notice is essential for an open and public meeting. Whether a meeting is open or how the public may participate in that meeting is academic if nobody knows about the meeting.

Agendas for regular meetings

Every regular meeting of a legislative body of a local agency — including advisory committees, commissions, or boards, as well as standing committees of legislative bodies — must be preceded by a posted agenda that advises the public of the meeting and the matters to be transacted or discussed.

The agenda must be posted at least 72 hours before the regular meeting in a location "freely accessible to members of the public."[1] The courts have not definitively interpreted the "freely accessible" requirement. The California Attorney General has interpreted this provision to require posting in a location accessible to the public 24 hours a day during the 72-hour period, but any of the 72 hours may fall on a weekend.[2] This provision may be satisfied by posting on a touch screen electronic kiosk accessible without charge to the public 24 hours a day during the 72-hour period.[3] While posting an agenda on an agency's Internet website will not, by itself, satisfy the "freely accessible" requirement since there is no universal access to the internet, an agency has a supplemental obligation to post the agenda on its website if: (1) the local agency has a website; and (2) the legislative body whose meeting is the subject of the agenda is either (a) a governing body, or (b) has members that are compensated, with one or more members that are also members of a governing body.[4]

Q. May the meeting of a governing body go forward if its agenda was either inadvertently not posted on the city's website or if the website was not operational during part or all of the 72-hour period preceding the meeting?

A. *At a minimum, the Brown Act calls for "substantial compliance" with all agenda posting requirements, including posting to the agency website.[5] Should website technical difficulties arise, seek a legal opinion from your agency attorney. The California Attorney General has opined that technical difficulties which cause the website agenda to become inaccessible for a portion of the 72 hours preceding a meeting do not automatically or inevitably lead to a Brown Act violation, provided the agency can demonstrate substantial compliance.[6] This inquiry requires a fact-specific examination of whether the agency or its legislative body made "reasonably effective efforts to notify interested persons of a public meeting" through online posting and other available means.[7] The Attorney General's opinion suggests that this examination would include an evaluation of how long a technical problem persisted, the efforts made to correct the problem or otherwise ensure that the public was informed, and the actual effect the problem had on public*

awareness, among other factors.[8] The City Attorneys' Department has taken the position that obvious website technical difficulties do not require cancellation of a meeting, provided that the agency meets all other Brown Act posting requirements and the agenda is available on the website once the technical difficulties are resolved.

The agenda must state the meeting time and place and must contain "a brief general description of each item of business to be transacted or discussed at the meeting, including items to be discussed in closed session."[9] Special care should be taken to describe on the agenda each distinct action to be taken by the legislative body, and avoid overbroad descriptions of a "project" if the "project" is actually a set of distinct actions that must each be separately listed on the agenda.[10]

PRACTICE TIP: Putting together a meeting agenda requires careful thought.

Q. The agenda for a regular meeting contains the following items of business:

- Consideration of a report regarding traffic on Eighth Street; and
- Consideration of contract with ABC Consulting.

Are these descriptions adequate?

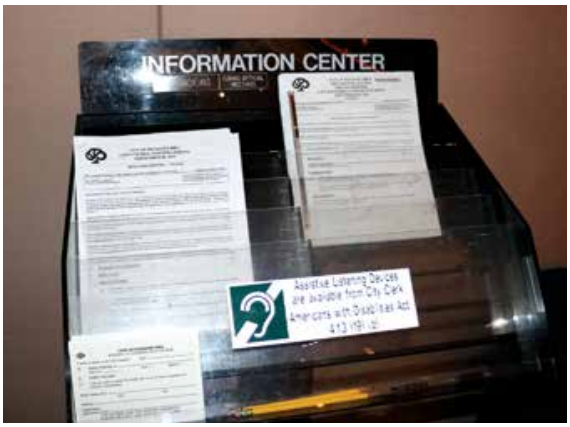
A. *If the first is, it is barely adequate. A better description would provide the reader with some idea of what the report is about and what is being recommended. The second is not adequate. A better description might read "consideration of a contract with ABC Consulting in the amount of $50,000 for traffic engineering services regarding traffic on Eighth Street."*

Q. The agenda includes an item entitled City Manager's Report, during which time the city manager provides a brief report on notable topics of interest, none of which are listed on the agenda.

Is this permissible?

A. *Yes, so long as it does not result in extended discussion or action by the body.*

A brief general description may not be sufficient for closed session agenda items. The Brown Act provides safe harbor language for the various types of permissible closed sessions. Substantial compliance with the safe harbor language is recommended to protect legislative bodies and elected officials from legal challenges.



Mailed agenda upon written request

The legislative body, or its designee, must mail a copy of the agenda or, if requested, the entire agenda packet, to any person who has filed a written request for such materials. These copies shall be mailed at the time the agenda is posted. If requested, these materials must be made available in appropriate alternative formats to persons with disabilities.

A request for notice is valid for one calendar year and renewal requests must be filed following January 1 of each year. The legislative body may establish a fee to recover the cost of providing the service. Failure of the requesting person to receive the agenda does not constitute grounds for invalidation of actions taken at the meeting.[11]

Notice requirements for special meetings

There is no express agenda requirement for special meetings, but the notice of the special meeting effectively serves as the agenda and limits the business that may be transacted or discussed. Written notice must be sent to each member of the legislative body (unless waived in writing by that member) and to each local newspaper of general circulation, and radio or television station that has requested such notice in writing. This notice must be delivered by personal delivery or any other means that ensures receipt, at least 24 hours before the time of the meeting.

The notice must state the time and place of the meeting, as well as all business to be transacted or discussed. It is recommended that the business to be transacted or discussed be described in the same manner that an item for a regular meeting would be described on the agenda — with a brief general description. As noted above, closed session items should be described in accordance with the Brown Act's safe harbor provisions to protect legislative bodies and elected officials from challenges of noncompliance with notice requirements.

The special meeting notice must also be posted at least 24 hours prior to the special meeting using the same methods as posting an agenda for a regular meeting: (1) at a site that is freely accessible to the public, and (2) on the agency's website if: (1) the local agency has a website; and (2) the legislative body whose meeting is the subject of the agenda is either (a) a governing body, or (b) has members that are compensated, with one or more members that are also members of a governing body.[12]

Notices and agendas for adjourned and continued meetings and hearings

A regular or special meeting can be adjourned and re-adjourned to a time and place specified in the order of adjournment.[13] If no time is stated, the meeting is continued to the hour for regular meetings. Whoever is present (even if they are less than a quorum) may so adjourn a meeting; if no member of the legislative body is present, the clerk or secretary may adjourn the meeting. If a meeting is adjourned for less than five calendar days, no new agenda need be posted so long as a new item of business is not introduced.[14] A copy of the order of adjournment must be posted within 24 hours after the adjournment, at or near the door of the place where the meeting was held.

A hearing can be continued to a subsequent meeting. The process is the same as for continuing adjourned meetings, except that if the hearing is continued to a time less than 24 hours away, a copy of the order or notice of continuance must be posted immediately following the meeting.[15]

Notice requirements for emergency meetings

The special meeting notice provisions apply to emergency meetings, except for the 24-hour notice.[16] News media that have requested written notice of special meetings must be notified by telephone at least one hour in advance of an emergency meeting, and all telephone numbers provided in that written request must be tried. If telephones are not working, the notice requirements are deemed waived. However, the news media must be notified as soon as possible of the meeting and any action taken.

News media may make a practice of having written requests on file for notification of special or emergency meetings. Absent such a request, a local agency has no legal obligation to notify news media of special or emergency meetings — although notification may be advisable in any event to avoid controversy.

Notice of compensation for simultaneous or serial meetings

A legislative body that has convened a meeting and whose membership constitutes a quorum of another legislative body, may convene a simultaneous or serial meeting of the other legislative body only after a clerk or member of the convened legislative body orally announces: (1) the amount of compensation or stipend, if any, that each member will be entitled to receive as a result of convening the meeting of the other legislative body; and (2) that the compensation or stipend is provided as a result of convening the meeting of that body.[17]

No oral disclosure of the amount of the compensation is required if the entire amount of such compensation is prescribed by statute and no additional compensation has been authorized by the local agency. Further, no disclosure is required with respect to reimbursements for actual and necessary expenses incurred in the performance of the member's official duties, such as for travel, meals, and lodging.

Educational agency meetings

The Education Code contains some special agenda and special meeting provisions.[18] However, they are generally consistent with the Brown Act. An item is probably void if not posted.[19] A school district board must also adopt regulations to make sure the public can place matters affecting the district's business on meeting agendas and to address the board on those items.[20]

Notice requirements for tax or assessment meetings and hearings

The Brown Act prescribes specific procedures for adoption by a city, county, special district, or joint powers authority of any new or increased tax or assessment imposed on businesses.[21] Though written broadly, these Brown Act provisions do not apply to new or increased real property taxes or assessments as those are governed by the California Constitution, Article XIIIC or XIIID, enacted by Proposition 218. At least one public meeting must be held to allow public testimony on the tax or assessment. In addition, there must also be at least 45 days notice of a public hearing at which the legislative body proposes to enact or increase the tax or assessment. Notice of the public meeting and public hearing must be provided at the same time and in the same document. The public notice relating to general taxes must be provided by newspaper publication. The public notice relating to new or increased business assessments must be provided through a mailing to all business owners proposed to be subject to the new or increased assessment. The agency may recover the reasonable costs of the public meetings, hearings, and notice.

The Brown Act exempts certain fees, standby or availability charges, recurring assessments, and new or increased assessments that are subject to the notice and hearing requirements of the Constitution.[22] As a practical matter, the Constitution's notice requirements have preempted this section of the Brown Act.

Non-agenda items

The Brown Act generally prohibits any action or discussion of items not on the posted agenda. However, there are three specific situations in which a legislative body can act on an item not on the agenda:[23]

- When a majority decides there is an "emergency situation" (as defined for emergency meetings);
- When two-thirds of the members present (or all members if less than two-thirds are present) determine there is a need for immediate action and the need to take action "came to the attention of the local agency subsequent to the agenda being posted." This exception requires a degree of urgency. Further, an item cannot be considered under this provision if the legislative body or the staff knew about the need to take immediate action before the agenda was posted. A new need does not arise because staff forgot to put an item on the agenda or because an applicant missed a deadline; or
- When an item appeared on the agenda of, and was continued from, a meeting held not more than five days earlier.

PRACTICE TIP: Subject to very limited exceptions, the Brown Act prohibits any action or discussion of an item not on the posted agenda.

The exceptions are narrow, as indicated by this list. The first two require a specific determination by the legislative body. That determination can be challenged in court and, if unsubstantiated, can lead to invalidation of an action.

> **"I'd like a two-thirds vote of the board, so we can go ahead and authorize commencement of phase two of the East Area Project," said Chair Lopez.**
>
> **"It's not on the agenda. But we learned two days ago that we finished phase one ahead of schedule — believe it or not — and I'd like to keep it that way. Do I hear a motion?"**

The desire to stay ahead of schedule generally would not satisfy "a need for immediate action." Too casual an action could invite a court challenge by a disgruntled resident. The prudent course is to place an item on the agenda for the next meeting and not risk invalidation.

> **"We learned this morning of an opportunity for a state grant," said the chief engineer at the regular board meeting, "but our application has to be submitted in two days. We'd like the board to give us the go ahead tonight, even though it's not on the agenda."**

A legitimate immediate need can be acted upon even though not on the posted agenda by following a two-step process:

- First, make two determinations: 1) that there is an immediate need to take action, and 2) that the need arose after the posting of the agenda. The matter is then placed on the agenda.
- Second, discuss and act on the added agenda item.

Responding to the public

The public can talk about anything within the jurisdiction of the legislative body, but the legislative body generally cannot act on or discuss an item not on the agenda. What happens when a member of the public raises a subject not on the agenda?

While the Brown Act does not allow discussion or action on items not on the agenda, it does allow members of the legislative body, or its staff, to "briefly respond" to comments or questions from members of the public, provide a reference to staff or other resources for factual information, or direct staff to place the issue on a future agenda. In addition, even without a comment from the public, a legislative body member or a staff member may ask for information, request a report back, request to place a matter on the agenda for a subsequent meeting (subject to the body's rules or procedures), ask a question for clarification, make a brief announcement, or briefly report on his or her own activities.[24] However, caution should be used to avoid any discussion or action on such items.

Council Member Jefferson: I would like staff to respond to Resident Joe's complaints during public comment about the repaving project on Elm Street — are there problems with this project?

City Manager Frank: The public works director has prepared a 45-minute power point presentation for you on the status of this project and will give it right now.

Council Member Brown: Take all the time you need; we need to get to the bottom of this. Our residents are unhappy.

It is clear from this dialogue that the Elm Street project was not on the council's agenda, but was raised during the public comment period for items not on the agenda. Council Member A properly asked staff to respond; the city manager should have given at most a brief response. If a lengthy report from the public works director was warranted, the city manager should have stated that it would be placed on the agenda for the next meeting. Otherwise, both the long report and the likely discussion afterward will improperly embroil the council in a matter that is not listed on the agenda.

The right to attend and observe meetings

A number of Brown Act provisions protect the public's right to attend, observe, and participate in meetings.

Members of the public cannot be required to register their names, provide other information, complete a questionnaire, or otherwise "fulfill any condition precedent" to attending a meeting. Any attendance list, questionnaire, or similar document posted at or near the entrance to the meeting room or circulated at a meeting must clearly state that its completion is voluntary and that all persons may attend whether or not they fill it out.[25]

No meeting can be held in a facility that prohibits attendance based on race, religion, color, national origin, ethnic group identification, age, sex, sexual orientation, or disability, or that is inaccessible to the disabled. Nor can a meeting be held where the public must make a payment or purchase in order to be present.[26] This does not mean, however, that the public is entitled to free entry to a conference attended by a majority of the legislative body.[27]

While a legislative body may use teleconferencing in connection with a meeting, the public must be given notice of and access to the teleconference location. Members of the public must be able to address the legislative body from the teleconference location.[28]

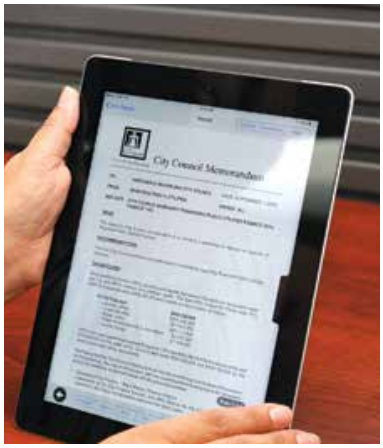
Action by secret ballot, whether preliminary or final, is flatly prohibited.[29]

All actions taken by the legislative body in open session, and the vote of each member thereon, must be disclosed to the public at the time the action is taken.[30]

Q: The agenda calls for election of the legislative body's officers. Members of the legislative body want to cast unsigned written ballots that would be tallied by the clerk, who would announce the results. Is this voting process permissible?

A: *No. The possibility that a public vote might cause hurt feelings among members of the legislative body or might be awkward — or even counterproductive — does not justify a secret ballot.*

The legislative body may remove persons from a meeting who willfully interrupt proceedings.[31] Ejection is justified only when audience members actually disrupt the proceedings.[32] If order cannot be restored after ejecting disruptive persons, the meeting room may be cleared. Members of the news media who have not participated in the disturbance must be allowed to continue to attend the meeting. The legislative body may establish a procedure to re-admit an individual or individuals not responsible for the disturbance.[33]



Records and recordings

The public has the right to review agendas and other writings distributed by any person to a majority of the legislative body in connection with a matter subject to discussion or consideration at a meeting. Except for privileged documents, those materials are public records and must be made available upon request without delay.[34] A fee or deposit as permitted by the California Public Records Act may be charged for a copy of a public record.[35]

Q: In connection with an upcoming hearing on a discretionary use permit, counsel for the legislative body transmits a memorandum to all members of the body outlining the litigation risks in granting or denying the permit. Must this memorandum be included in the packet of agenda materials available to the public?

A: *No. The memorandum is a privileged attorney-client communication.*

Q: In connection with an agenda item calling for the legislative body to approve a contract, staff submits to all members of the body a financial analysis explaining why the terms of the contract favor the local agency. Must this memorandum be included in the packet of agenda materials available to the public?

A. *Yes. The memorandum has been distributed to the majority of the legislative body, relates to the subject matter of a meeting, and is not a privileged communication.*

A legislative body may discuss or act on some matters without considering written materials. But if writings are distributed to a majority of a legislative body in connection with an agenda item, they must also be available to the public. A non-exempt or otherwise privileged writing distributed to a majority of the legislative body less than 72 hours before the meeting must be made available for inspection at the time of distribution at a public office or location designated for that purpose; and the agendas for all meetings of the legislative body must include the address of this office or location.[36] A writing distributed during a meeting must be made public:

- At the meeting if prepared by the local agency or a member of its legislative body; or
- After the meeting if prepared by some other person.[37]

Any tape or film record of an open and public meeting made for whatever purpose by or at the direction of the local agency is subject to the California Public Records Act; however, it may be erased or destroyed 30 days after the taping or recording. Any inspection of a video or tape recording is to be provided without charge on a video or tape player made available by the local agency.[38] The agency may impose its ordinary charge for copies that is consistent with the California Public Records Act.[39]

In addition, the public is specifically allowed to use audio or video tape recorders or still or motion picture cameras at a meeting to record the proceedings, absent a reasonable finding by the legislative body that noise, illumination, or obstruction of view caused by recorders or cameras would persistently disrupt the proceedings.[40]

Similarly, a legislative body cannot prohibit or restrict the public broadcast of its open and public meetings without making a reasonable finding that the noise, illumination, or obstruction of view would persistently disrupt the proceedings.[41]

The public's place on the agenda

Every agenda for a regular meeting must allow members of the public to speak on any item of interest, so long as the item is within the subject matter jurisdiction of the legislative body. Further, the public must be allowed to speak on a specific item of business before or during the legislative body's consideration of it.[42]

Q. Must the legislative body allow members of the public to show videos or make a power point presentation during the public comment part of the agenda, as long as the subject matter is relevant to the agency and is within the established time limit?

A. *Probably, although the agency is under no obligation to provide equipment.*

Moreover, the legislative body cannot prohibit public criticism of policies, procedures, programs, or services of the agency or the acts or omissions of the legislative body itself. But the Brown Act provides no immunity for defamatory statements.[43]

PRACTICE TIP: Public speakers cannot be compelled to give their name or address as a condition of speaking. The clerk or presiding officer may request speakers to complete a speaker card or identify themselves for the record, but must respect a speaker's desire for anonymity.

Q. May the presiding officer prohibit a member of the audience from publicly criticizing an agency employee by name during public comments?

A. *No, as long as the criticism pertains to job performance.*

Q. During the public comment period of a regular meeting of the legislative body, a resident urges the public to support and vote for a candidate vying for election to the body. May the presiding officer gavel the speaker out of order for engaging in political campaign speech?

A. *There is no case law on this subject. Some would argue that campaign issues are outside the subject matter jurisdiction of the body within the meaning of Section 54954.3(a). Others take the view that the speech must be allowed under paragraph (c) of that section because it is relevant to the governing of the agency and an implicit criticism of the incumbents.*

The legislative body may adopt reasonable regulations, including time limits, on public comments. Such regulations should be enforced fairly and without regard to speakers' viewpoints. The legislative body has discretion to modify its regulations regarding time limits on public comment if necessary. For example, the time limit could be shortened to accommodate a lengthy agenda or lengthened to allow additional time for discussion on a complicated matter.[44]

The public does not need to be given an opportunity to speak on an item that has already been considered by a committee made up exclusively of members of the legislative body at a public meeting, if all interested members of the public had the opportunity to speak on the item before or during its consideration, and if the item has not been substantially changed.[45]

Notices and agendas for special meetings must also give members of the public the opportunity to speak before or during consideration of an item on the agenda but need not allow members of the public an opportunity to speak on other matters within the jurisdiction of the legislative body.[46]

Endnotes:

1 California Government Code section 54954.2(a)(1)

2 78 Ops.Cal.Atty.Gen. 327 (1995)

3 88 Ops.Cal.Atty.Gen. 218 (2005)

4 California Government Code sections 54954.2(a)(1) and 54954.2(d)

5 California Government Code section 54960.1(d)(1)

6 ___ Ops.Cal.Atty.Gen.___, No. 14-1204 (January 19, 2016) 16 Cal. Daily Op. Serv. 937 (Cal.A.G.), 2016 WL 375262

7 *North Pacifica LLC v. California Coastal Commission* (2008) 166 Cal.App.4th 1416, 1432

8 ___ Ops.Cal.Atty.Gen.___, No. 14-1204 (January 19, 2016) 16 Cal. Daily Op. Serv. 937 (Cal.A.G.), 2016 WL 375262, Slip Op. at p. 8

9 California Government Code section 54954.2(a)(1)

10 *San Joaquin Raptor Rescue v. County of Merced* (2013) 216 Cal.App.4th 1167 (legislative body's approval of CEQA action (mitigated negative declaration) without specifically listing it on the agenda violates Brown Act, even if the agenda generally describes the development project that is the subject of the CEQA analysis.)

11 California Government Code section 54954.1

12 California Government Code sections 54956(a) and (c)

13 California Government Code section 54955

14 California Government Code section 54954.2(b)(3)

15 California Government Code section 54955.1

16 California Government Code section 54956.5

17 California Government Code section 54952.3

18 Education Code sections 35144, 35145 and 72129

19 *Carlson v. Paradise Unified School District* (1971) 18 Cal.App.3d 196

20 California Education Code section 35145.5

21 California Government Code section 54954.6

22 See Cal.Const.Art.XIIIC, XIIID and California Government Code section 54954.6(h)

23 California Government Code section 54954.2(b)

24 California Government Code section 54954.2(a)(2)

25 California Government Code section 54953.3

26 California Government Code section 54961(a); California Government Code section 11135(a)

27 California Government Code section 54952.2(c)(2)

28 California Government Code section 54953(b)

29 California Government Code section 54953(c)

30 California Government Code section 54953(c)(2)

31 California Government Code section 54957.9.

32 *Norse v. City of Santa Cruz* (9th Cir. 2010) 629 F.3d 966 (silent and momentary Nazi salute directed towards mayor is not a disruption); *Acosta v. City of Costa Mesa* (9th Cir. 2013) 718 F.3d 800 (city council may not prohibit "insolent" remarks by members of the public absent actual disruption).

33 California Government Code section 54957.9

34 California Government Code section 54957.5

35 California Government Code section 54957.5(d)

36 California Government Code section 54957.5(b)

37 California Government Code section 54957.5(c)

38 California Government Code section 54953.5(b)

39 California Government Code section 54957.5(d)

40 California Government Code section 54953.5(a)

41 California Government Code section 54953.6

42 California Government Code section 54954.3(a)

43 California Government Code section 54954.3(c)

44 California Government Code section 54954.3(b); Chaffee v. San Francisco Public Library Com. (2005) 134 Cal.App.4th 109; 75 Ops.Cal.Atty.Gen. 89 (1992)

45 California Government Code section 54954.3(a)

46 California Government Code section 54954.3(a)

Updates to this publication responding to changes in the Brown Act or new court interpretations are available at **www.cacities.org/opengovernment**. A current version of the Brown Act may be found at **www.leginfo.ca.gov**.

Chapter 5

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Chapter 5

CLOSED SESSIONS

A closed session is a meeting of a legislative body conducted in private without the attendance of the public or press. A legislative body is authorized to meet in closed session only to the extent expressly authorized by the Brown Act.[1]

As summarized in Chapter 1 of this Guide, it is clear that the Brown Act must be interpreted liberally in favor of open meetings, and exceptions that limit public access (including the exceptions for closed session meetings) must be narrowly construed.[2] The most common purposes of the closed session provisions in the Brown Act are to avoid revealing confidential information (e.g., prejudicing the city's position in litigation or compromising the privacy interests of employees). Closed sessions should be conducted keeping those narrow purposes in mind. It is not enough that a subject is sensitive, embarrassing, or controversial. Without specific authority in the Brown Act for a closed session, a matter to be considered by a legislative body must be discussed in public. As an example, a board of police commissioners cannot meet in closed session to provide general policy guidance to a police chief, even though some matters are sensitive and the commission considers their disclosure contrary to the public interest.[3]

PRACTICE TIP: Some problems over closed sessions arise because secrecy itself breeds distrust. The Brown Act does not require closed sessions and legislative bodies may do well to resist the tendency to call a closed session simply because it may be permitted. A better practice is to go into closed session only when necessary.

In this chapter, the grounds for convening a closed session are called "exceptions" because they are exceptions to the general rule that meetings must be conducted openly. In some circumstances, none of the closed session exceptions apply to an issue or information the legislative body wishes to discuss privately. In these cases, it is not proper to convene a closed session, even to protect confidential information. For example, although the Brown Act does authorize closed sessions related to specified types of contracts (e.g., specified provisions of real property agreements, employee labor agreements, and litigation settlement agreements),[4] the Brown Act does not authorize closed sessions for other contract negotiations.

Agendas and reports

Closed session items must be briefly described on the posted agenda and the description must state the specific statutory exemption.[5] An item that appears on the open meeting portion of the agenda may not be taken into closed session until it has been properly agendized as a closed session item or unless it is properly added as a closed session item by a two-thirds vote of the body after making the appropriate urgency findings.[6]

The Brown Act supplies a series of fill in the blank sample agenda descriptions for various types of authorized closed sessions, which provide a "safe harbor" from legal attacks. These sample

agenda descriptions cover license and permit determinations, real property negotiations, existing or anticipated litigation, liability claims, threats to security, public employee appointments, evaluations and discipline, labor negotiations, multi-jurisdictional law enforcement cases, hospital boards of directors, medical quality assurance committees, joint powers agencies, and audits by the California State Auditor's Office.[7]

If the legislative body intends to convene in closed session, it must include the section of the Brown Act authorizing the closed session in advance on the agenda and it must make a public announcement prior to the closed session discussion. In most cases, the announcement may simply be a reference to the agenda item.[8]

Following a closed session, the legislative body must provide an oral or written report on certain actions taken and the vote of every elected member present. The timing and content of the report varies according to the reason for the closed session and the action taken.[9] The announcements may be made at the site of the closed session, so long as the public is allowed to be present to hear them.

If there is a standing or written request for documentation, any copies of contracts, settlement agreements, or other documents finally approved or adopted in closed session must be provided to the requestor(s) after the closed session, if final approval of such documents does not rest with any other party to the contract or settlement. If substantive amendments to a contract or settlement agreement approved by all parties requires retyping, such documents may be held until retyping is completed during normal business hours, but the substance of the changes must be summarized for any person inquiring about them.[10]

PRACTICE TIP: Pay close attention to closed session agenda descriptions. Using the wrong label can lead to invalidation of an action taken in closed session if not substantially compliant.

The Brown Act does not require minutes, including minutes of closed sessions. However, a legislative body may adopt an ordinance or resolution to authorize a confidential "minute book" be kept to record actions taken at closed sessions.[11] If one is kept, it must be made available to members of the legislative body, provided that the member asking to review minutes of a particular meeting was not disqualified from attending the meeting due to a conflict of interest.[12] A court may order the disclosure of minute books for the court's review if a lawsuit makes sufficient claims of an open meeting violation.

Litigation

There is an attorney/client relationship, and legal counsel may use it to protect the confidentiality of privileged written and oral communications to members of the legislative body — outside of meetings. But protection of the attorney/client privilege cannot by itself be the reason for a closed session.[13]

The Brown Act expressly authorizes closed sessions to discuss what is considered pending litigation. The rules that apply to holding a litigation closed session involve complex, technical definitions and procedures. The essential thing to know is that a closed session can be held by the body to confer with, or receive advice from, its legal counsel when open discussion would prejudice the position of the local agency in litigation in which the agency is, or could become, a party.[14] The litigation exception under the Brown Act is narrowly construed and does not permit activities beyond a legislative body's conferring with its own legal counsel and required support staff.[15] For example, it is not permissible to hold a closed session in which settlement negotiations take place between a legislative body, a representative of an adverse party, and a mediator.[16]

The California Attorney General has opined that if the agency's attorney is not a participant, a litigation closed session cannot be held.[17] In any event, local agency officials should always consult the agency's attorney before placing this type of closed session on the agenda in order to be certain that it is being done properly.

Before holding a closed session under the pending litigation exception, the legislative body must publicly state the basis for the closed session by identifying one of the following three types of matters: existing litigation, anticipated exposure to litigation, or anticipated initiation of litigation.[18]

Existing litigation

Q. May the legislative body agree to settle a lawsuit in a properly-noticed closed session, without placing the settlement agreement on an open session agenda for public approval?

A. *Yes, but the settlement agreement is a public document and must be disclosed on request. Furthermore, a settlement agreement cannot commit the agency to matters that are required to have public hearings.*

Existing litigation includes any adjudicatory proceedings before a court, administrative body exercising its adjudicatory authority, hearing officer, or arbitrator. The clearest situation in which a closed session is authorized is when the local agency meets with its legal counsel to discuss a pending matter that has been filed in a court or with an administrative agency and names the local agency as a party. The legislative body may meet under these circumstances to receive updates on the case from attorneys, participate in developing strategy as the case develops, or consider alternatives for resolution of the case. Generally, an agreement to settle litigation may be approved in closed session. However, an agreement to settle litigation cannot be approved in closed session if it commits the city to take an action that is required to have a public hearing.[19]

Anticipated exposure to litigation against the local agency

Closed sessions are authorized for legal counsel to inform the legislative body of a significant exposure to litigation against the local agency, but only if based on "existing facts and circumstances" as defined by the Brown Act.[20] The legislative body may also meet under this exception to determine whether a closed session is authorized based on information provided by legal counsel or staff. In general, the "existing facts and circumstances" must be publicly disclosed unless they are privileged written communications or not yet known to a potential plaintiff.

Anticipated initiation of litigation by the local agency

A closed session may be held under the exception for the anticipated initiation of litigation when the legislative body seeks legal advice on whether to protect the agency's rights and interests by initiating litigation.

Certain actions must be reported in open session at the same meeting following the closed

session. Other actions, as where final approval rests with another party or the court, may be announced when they become final and upon inquiry of any person.[21] Each agency attorney should be aware of and make the disclosures that are required by the particular circumstances.

Real estate negotiations

A legislative body may meet in closed session with its negotiator to discuss the purchase, sale, exchange, or lease of real property by or for the local agency. A "lease" includes a lease renewal or renegotiation. The purpose is to grant authority to the legislative body's negotiator on price and terms of payment.[22] Caution should be exercised to limit discussion to price and terms of payment without straying to other related issues such as site design, architecture, or other aspects of the project for which the transaction is contemplated.[23]

Q. May other terms of a real estate transaction, aside from price and terms of payment, be addressed in closed session?

A. *No. However, there are differing opinions over the scope of the phrase "price and terms of payment" in connection with real estate closed sessions. Many agency attorneys argue that any term that directly affects the economic value of the transaction falls within the ambit of "price and terms of payment." Others take a narrower, more literal view of the phrase.*

The agency's negotiator may be a member of the legislative body itself. Prior to the closed session, or on the agenda, the legislative body must identify its negotiators, the real property that the negotiations may concern[24] and the names of the parties with whom its negotiator may negotiate.[25]

After real estate negotiations are concluded, the approval and substance of the agreement must be publicly reported. If its own approval makes the agreement final, the body must report in open session at the public meeting during which the closed session is held. If final approval rests with another party, the local agency must report the approval and the substance of the agreement upon inquiry by any person, as soon as the agency is informed of it.[26]

"Our population is exploding, and we have to think about new school sites," said Board Member Jefferson.

"Not only that," interjected Board Member Tanaka, "we need to get rid of a couple of our older facilities."

"Well, obviously the place to do that is in a closed session," said Board Member O'Reilly. "Otherwise we're going to set off land speculation. And if we even mention closing a school, parents are going to be in an uproar."

A closed session to discuss potential sites is not authorized by the Brown Act. The exception is limited to meeting with its negotiator over specific sites — which must be identified at an open and public meeting.

Public employment

The Brown Act authorizes a closed session "to consider the appointment, employment, evaluation of performance, discipline, or dismissal of a public employee or to hear complaints or charges brought against the employee."[27] The purpose of this exception — commonly referred to as the "personnel exception" — is to avoid undue publicity or embarrassment for an employee or applicant for employment and to allow full and candid discussion by the legislative body; thus, it is restricted to discussing individuals, not general personnel policies.[28] The body must possess the power to appoint, evaluate, or dismiss the employee to hold a closed session under this exception.[29] That authority may be delegated to a subsidiary appointed body.[30]

PRACTICE TIP: Discussions of who to appoint to an advisory body and whether or not to censure a fellow member of the legislative body must be held in the open.

An employee must be given at least 24 hours notice of any closed session convened to hear specific complaints or charges against him or her. This occurs when the legislative body is reviewing evidence, which could include live testimony, and adjudicating conflicting testimony offered as evidence. A legislative body may examine (or exclude) witnesses,[31] and the California Attorney General has opined that, when an affected employee and advocate have an official or essential role to play, they may be permitted to participate in the closed session.[32] The employee has the right to have the specific complaints and charges discussed in a public session rather than closed session.[33] If the employee is not given the 24-hour prior notice, any disciplinary action is null and void.[34]

However, an employee is not entitled to notice and a hearing where the purpose of the closed session is to consider a performance evaluation. The Attorney General and the courts have determined that personnel performance evaluations do not constitute complaints and charges, which are more akin to accusations made against a person.[35]

Q. Must 24 hours notice be given to an employee whose negative performance evaluation is to be considered by the legislative body in closed session?

A. *No, the notice is reserved for situations where the body is to hear complaints and charges from witnesses.*

Correct labeling of the closed session on the agenda is critical. A closed session agenda that identified discussion of an employment contract was not sufficient to allow dismissal of an employee.[36] An incorrect agenda description can result in invalidation of an action and much embarrassment.

For purposes of the personnel exception, "employee" specifically includes an officer or an independent contractor who functions as an officer or an employee. Examples of the former include a city manager, district general manager or superintendent. Examples of the latter Include a legal counsel or engineer hired on contract to act as local agency attorney or chief engineer.

Elected officials, appointees to the governing body or subsidiary bodies, and independent contractors other than those discussed above are not employees for purposes of the personnel exception.[37] Action on individuals who are not "employees" must also be public — including discussing and voting on appointees to committees, or debating the merits of independent contractors, or considering a complaint against a member of the legislative body itself.

The personnel exception specifically prohibits discussion or action on proposed compensation in closed session, except for a disciplinary reduction in pay. Among other things, that means there can be no personnel closed sessions on a salary change (other than a disciplinary reduction) between any unrepresented individual and the legislative body. However, a legislative body may address the compensation of an unrepresented individual, such as a city manager, in a closed session as part of a labor negotiation (discussed later in this chapter), yet another example of the importance of using correct agenda descriptions.

Reclassification of a job must be public, but an employee's ability to fill that job may be considered in closed session.

Any closed session action to appoint, employ, dismiss, accept the resignation of, or otherwise affect the employment status of a public employee must be reported at the public meeting during which the closed session is held. That report must identify the title of the position, but not the names of all persons considered for an employment position.[38] However, a report on a dismissal or non-renewal of an employment contract must be deferred until administrative remedies, if any, are exhausted.[39]

> **"I have some important news to announce," said Mayor Garcia. "We've decided to terminate the contract of the city manager, effective immediately. The council has met in closed session and we've negotiated six months severance pay."**
>
> **"Unfortunately, that has some serious budget consequences, so we've had to delay phase two of the East Area Project."**
>
> *This may be an improper use of the personnel closed session if the council agenda described the item as the city manager's evaluation. In addition, other than labor negotiations, any action on individual compensation must be taken in open session. Caution should be exercised to not discuss in closed session issues, such as budget impacts in this hypothetical, beyond the scope of the posted closed session notice.*

PRACTICE TIP: The personnel exception specifically prohibits discussion or action on proposed compensation in closed session except for a disciplinary reduction in pay.

Labor negotiations

The Brown Act allows closed sessions for some aspects of labor negotiations. Different provisions (discussed below) apply to school and community college districts.

A legislative body may meet in closed session to instruct its bargaining representatives, which may be one or more of its members,[40] on employee salaries and fringe benefits for both represented ("union") and non-represented employees. For represented employees, it may also consider working conditions that by law require negotiation. For the purpose of labor negotiation closed sessions, an "employee" includes an officer or an independent contractor who functions as an officer or an employee, but independent contractors who do not serve in the capacity of an officer or employee are not covered by this closed session exception.[41]

These closed sessions may take place before or during negotiations with employee representatives. Prior to the closed session, the legislative body must hold an open and public session in which it identifies its designated representatives.

PRACTICE TIP: Prior to the closed session, the legislative body must hold an open and public session in which it identifies its designated representatives.

During its discussions with representatives on salaries and fringe benefits, the legislative body may also discuss available funds and funding priorities, but only to instruct its representative. The body may also meet in closed session with a conciliator who has intervened in negotiations.[42]

The approval of an agreement concluding labor negotiations with represented employees must be reported after the agreement is final and has been accepted or ratified by the other party. The report must identify the item approved and the other party or parties to the negotiation.[43] The labor closed sessions specifically cannot include final action on proposed compensation of one or more unrepresented employees.

Labor negotiations — school and community college districts

Employee relations for school districts and community college districts are governed by the Rodda Act, where different meeting and special notice provisions apply. The entire board, for example, may negotiate in closed sessions.

Four types of meetings are exempted from compliance with the Rodda Act:

1. A negotiating session with a recognized or certified employee organization;
2. A meeting of a mediator with either side;
3. A hearing or meeting held by a fact finder or arbitrator; and
4. A session between the board and its bargaining agent, or the board alone, to discuss its position regarding employee working conditions and instruct its agent.[44]

Public participation under the Rodda Act also takes another form.[45] All initial proposals of both sides must be presented at public meetings and are public records. The public must be given reasonable time to inform itself and to express its views before the district may adopt its initial proposal. In addition, new topics of negotiations must be made public within 24 hours. Any votes on such a topic must be followed within 24 hours by public disclosure of the vote of each member.[46] The final vote must be in public.

Other Education Code exceptions

The Education Code governs student disciplinary meetings by boards of school districts and community college districts. District boards may hold a closed session to consider the suspension or discipline of a student, if a public hearing would reveal personal, disciplinary, or academic information about the student contrary to state and federal pupil privacy law. The student's parent or guardian may request an open meeting.[47]

Community college districts may also hold closed sessions to discuss some student disciplinary matters, awarding of honorary degrees, or gifts from donors who prefer to remain anonymous.[48] Kindergarten through 12th grade districts may also meet in closed session to review the contents of the statewide assessment instrument.[49]

PRACTICE TIP: Attendance by the entire legislative body before a grand jury would not constitute a closed session meeting under the Brown Act.

Joint Powers Authorities

The legislative body of a joint powers authority may adopt a policy regarding limitations on disclosure of confidential information obtained in closed session, and may meet in closed session to discuss information that is subject to the policy.[50]

License applicants with criminal records

A closed session is permitted when an applicant, who has a criminal record, applies for a license or license renewal and the legislative body wishes to discuss whether the applicant is sufficiently rehabilitated to receive the license. The applicant and the applicant's attorney are authorized to attend the closed session meeting. If the body decides to deny the license, the applicant may withdraw the application. If the applicant does not withdraw, the body must deny the license in public, immediately or at its next meeting. No information from the closed session can be revealed without consent of the applicant, unless the applicant takes action to challenge the denial.[51]

Public security

Legislative bodies may meet in closed session to discuss matters posing a threat to the security of public buildings, essential public services, including water, sewer, gas, or electric service, or to the public's right of access to public services or facilities over which the legislative body has jurisdiction. Closed session meetings for these purposes must be held with designated security or law enforcement officials including the Governor, Attorney General, district attorney, agency attorney, sheriff or chief of police, or their deputies or agency security consultant or security operations manager.[52] Action taken in closed session with respect to such public security issues is not reportable action.

Multijurisdictional law enforcement agency

A joint powers agency formed to provide law enforcement services (involving drugs; gangs; sex crimes; firearms trafficking; felony possession of a firearm; high technology, computer, or identity theft; human trafficking; or vehicle theft) to multiple jurisdictions may hold closed sessions to discuss case records of an on-going criminal investigation, to hear testimony from persons involved in the investigation, and to discuss courses of action in particular cases.[53]

The exception applies to the legislative body of the joint powers agency and to any body advisory to it. The purpose is to prevent impairment of investigations, to protect witnesses and informants, and to permit discussion of effective courses of action.[54]

Hospital peer review and trade secrets

Two specific kinds of closed sessions are allowed for district hospitals and municipal hospitals, under other provisions of law.[55]

1. A meeting to hear reports of hospital medical audit or quality assurance committees, or for related deliberations. However, an applicant or medical staff member whose staff privileges are the direct subject of a hearing may request a public hearing.
2. A meeting to discuss "reports involving trade secrets" — provided no action is taken.

A "trade secret" is defined as information which is not generally known to the public or competitors and which: 1) "derives independent economic value, actual or potential" by virtue of its restricted knowledge; 2) is necessary to initiate a new hospital service or program or facility; and 3) would, if prematurely disclosed, create a substantial probability of depriving the hospital of a substantial economic benefit.

The provision prohibits use of closed sessions to discuss transitions in ownership or management, or the district's dissolution.[56]

Other legislative bases for closed session

Since any closed session meeting of a legislative body must be authorized by the Legislature, it is important to carefully review the Brown Act to determine if there is a provision that authorizes a closed session for a particular subject matter. There are some less frequently encountered topics that are authorized to be discussed by a legislative body in closed session under the Brown Act, including: a response to a confidential final draft audit report from the Bureau of State Audits,[57] consideration of the purchase or sale of particular pension fund investments by a legislative body of a local agency that invests pension funds,[58] hearing a charge or complaint from a member enrolled in a health plan by a legislative body of a local agency that provides Medi-Cal services,[59] discussions by a county board of supervisors that governs a health plan licensed pursuant to the Knox-Keene Health Care Services Plan Act related to trade secrets or contract negotiations concerning rates of payment,[60] and discussions by an insurance pooling joint powers agency related to a claim filed against, or liability of, the agency or a member of the agency.[61]

PRACTICE TIP: Meetings are either open or closed. There is nothing "in between."[62]

Who may attend closed sessions

Meetings of a legislative body are either fully open or fully closed; there is nothing in between. Therefore, local agency officials and employees must pay particular attention to the authorized attendees for the particular type of closed session. As summarized above, the authorized attendees may differ based on the topic of the closed session. Closed sessions may involve only the members of the legislative body and only agency counsel, management and support staff, and consultants necessary for consideration of the matter that is the subject of closed session, with very limited exceptions for adversaries or witnesses with official roles in particular types of hearings (e.g., personnel disciplinary hearings and license hearings). In any case, individuals who do not have an official role in the closed session subject matters must be excluded from closed sessions.[63]

Q. May the lawyer for someone suing the agency attend a closed session in order to explain to the legislative body why it should accept a settlement offer?

A. *No, attendance in closed sessions is reserved exclusively for the agency's advisors.*

The confidentiality of closed session discussions

The Brown Act explicitly prohibits the unauthorized disclosure of confidential information acquired in a closed session by any person present, and offers various remedies to address breaches of confidentiality.[64] It is incumbent upon all those attending lawful closed sessions to protect the confidentiality of those discussions. One court has held that members of a legislative body cannot be compelled to divulge the content of closed session discussions through the discovery process.[65] Only the legislative body acting as a body may agree to divulge confidential closed session information; regarding attorney/client privileged communications, the entire body is the holder of the privilege and only the entire body can decide to waive the privilege.[66]

Before adoption of the Brown Act provision specifically prohibiting disclosure of closed session communications, agency attorneys and the Attorney General long opined that officials have a fiduciary duty to protect the confidentiality of closed session discussions. The Attorney General issued an opinion that it is "improper" for officials to disclose information received during a closed session regarding pending litigation,[67] though the Attorney General has also concluded that a local agency is preempted from adopting an ordinance criminalizing public disclosure of closed session discussions.[68] In any event, in 2002, the Brown Act was amended to prescribe particular remedies for breaches of confidentiality. These remedies include injunctive relief; and, if the breach is a willful disclosure of confidential information, the remedies include disciplinary action against an employee, and referral of a member of the legislative body to the grand jury.[69]

PRACTICE TIP: There is a strong interest in protecting the confidentiality of proper and lawful closed sessions.

The duty of maintaining confidentiality, of course, must give way to the responsibility to disclose improper matters or discussions that may come up in closed sessions. In recognition of this public policy, under the Brown Act, a local agency may not penalize a disclosure of information learned during a closed session if the disclosure: 1) is made in confidence to the district attorney or the grand jury due to a perceived violation of law; 2) is an expression of opinion concerning the propriety or legality of actions taken in closed session, including disclosure of the nature and extent of the illegal action; or 3) is information that is not confidential.[70]

The interplay between these possible sanctions and an official's first amendment rights is complex and beyond the scope of this guide. Suffice it to say that this is a matter of great sensitivity and controversy.

> **"I want the press to know that I voted in closed session against filing the eminent domain action," said Council Member Chang.**
>
> **"Don't settle too soon," reveals Council Member Watson to the property owner, over coffee. "The city's offer coming your way is not our bottom line."**
>
> *The first comment to the press may be appropriate if it is a part of an action taken by the City Council in closed session that must be reported publicly.[71] The second comment to the property owner is not — disclosure of confidential information acquired in closed session is expressly prohibited and harmful to the agency.*

ENDNOTES:

1 California Government Code section 54962

2 California Constitution, Art. 1, section 3

3 61 Ops.Cal.Atty.Gen. 220 (1978); but see California Government Code section 54957.8 (multijurisdictional law enforcement agencies are authorized to meet in closed session to discuss the case records of ongoing criminal investigations, and other related matters).

4 California Government Code section 54957.1

5 California Government Code section 54954.5

6 California Government Code section 54954.2

7 California Government Code section 54954.5

8 California Government Code sections 54956.9 and 54957.7

9 California Government Code section 54957.1(a)

10 California Government Code section 54957.1(b)

11 California Government Code section 54957.2

12 *Hamilton v. Town of Los Gatos* (1989) 213 Cal.App.3d 1050; 2 Cal.Code Regs. section 18707

13 *Roberts v. City of Palmdale* (1993) 5 Cal.4th 363

14 California Government Code section 54956.9; *Shapiro v. Board of Directors of Center City Development Corp.* (2005) 134 Cal.App.4th 170 (agency must be a party to the litigation).

15 82 Ops.Cal.Atty.Gen. 29 (1999)

16 *Page v. Miracosta Community College District* (2009) 180 Cal.App.4th 471

17 *"The Brown Act,"* California Attorney General (2003), p. 40

18 California Government Code section 54956.9(g)

19 *Trancas Property Owners Association v. City of Malibu* (2006) 138 Cal.App.4th 172

20 Government Code section 54956.9(e)

21 California Government Code section 54957.1

22 California Government Code section 54956.8

23 *Shapiro v. San Diego City Council* (2002) 96 Cal.App.4th 904; see also 93 Ops.Cal.Atty.Gen. 51 (2010) (redevelopment agency may not convene a closed session to discuss rehabilitation loan for a property already subleased to a loan recipient, even if the loan Incorporates some of the sublease terms and includes an operating covenant governing the property); 94 Ops.Cal.Atty.Gen. 82 (2011) (real estate closed session may address form, manner and timing of consideration and other items that cannot be disclosed without revealing price and terms).

24 73 Ops.Cal.Atty.Gen. 1 (1990)

25 California Government Code sections 54956.8 and 54954.5(b)

26 California Government Code section 54957.1(a)(1)

27 California Government Code section 54957(b)

28 63 Ops.Cal.Atty.Gen. 153 (1980); but see *Duvall v. Board of Trustees* (2000) 93 Cal.App.4th 902 (board may discuss personnel evaluation criteria, process and other preliminary matters in closed session but only if related to the evaluation of a particular employee).

29 *Gillespie v. San Francisco Public Library Commission* (1998) 67 Cal.App.4th 1165; 85 Ops.Cal.Atty.Gen. 77 (2002)

30 *Gillespie v. San Francisco Public Library Commission* (1998) 67 Cal.App.4th 1165; 80 Ops.Cal.Atty. Gen. 308 (1997). Interviews of candidates to fill a vacant staff position conducted by a temporary committee appointed by the governing body may be done in closed session.

31 California Government Code section 54957(b)(3)

32 88 Ops.Cal.Atty.Gen. 16 (2005)

33 *Morrison v. Housing Authority of the City of Los Angeles* (2003) 107 Cal.App.4th 860

34 California Government Code section 54957(b); but see *Bollinger v. San Diego Civil Service Commission* (1999) 71 Cal.App.4th 568 (notice not required for closed session deliberations regarding complaints or charges, when there was a public evidentiary hearing prior to closed session).

35 78 Ops.Cal.Atty.Gen. 218 (1995); *Bell v. Vista Unified School District* (2000) 82 Cal.App.4th 672; *Furtado v. Sierra Community College* (1998) 68 Cal.App.4th 876; *Fischer v. Los Angeles Unified School District* (1999) 70 Cal.App.4th 87

36 *Moreno v. City of King* (2005) 127 Cal.App.4th 17

37 California Government Code section 54957

38 *Gillespie v. San Francisco Public Library Commission* (1998) 67 Cal.App.4th 1165

39 California Government Code section 54957.1(a)(5)

40 California Government Code section 54957.6

41 California Government Code section 54957.6(b); see also 98 Ops.Cal.Atty.Gen. 41 (2015) (a project labor agreement between a community college district and workers hired by contractors or subcontractors is not a proper subject of closed session for labor negotiations because the workers are not "employees" of the district).

42 California Government Code section 54957.6; and 51 Ops.Cal.Atty.Gen. 201 (1968)

43 California Government Code section 54957.1(a)(6)

44 California Government Code section 3549.1

45 California Government Code section 3540

46 California Government Code section 3547

47 California Education Code section 48918; but see *Rim of the World Unified School District v. Superior Court* (2003) 104 Cal.App.4th 1393 (Section 48918 preempted by the Federal Family Educational Right and Privacy Act in regard to expulsion proceedings).

48 California Education Code section 72122

49 California Education Code section 60617

50 California Government Code section 54956.96

51 California Government Code section 54956.7

52 California Government Code section 54957

53 *McKee v. Los Angeles Interagency Metropolitan Police Apprehension Crime Task Force* (2005) 134 Cal. App.4th 354

54 California Government Code section 54957.8

55 California Government Code section 54962

56 California Health and Safety Code section 32106

57 California Government Code section 54956.75

58 California Government Code section 54956.81

59 California Government Code section 54956.86

60 California Government Code section 54956.87

61 California Government Code section 54956.95

62 46 Ops.Cal.Atty.Gen. 34 (1965)

63 82 Ops.Cal.Atty.Gen. 29 (1999)

64 Government Code section 54963

65 *Kleitman v. Superior Court* (1999) 74 Cal.App.4th 324, 327; see also California Government Code section 54963.

66 *Roberts v. City of Palmdale* (1993) 5 Cal.4th 363

67 80 Ops.Cal.Atty.Gen. 231 (1997)

68 76 Ops.Cal.Atty.Gen. 289 (1993)

69 California Government Code section 54963

70 California Government Code section 54963

71 California Government Code section 54957.1

Updates to this publication responding to changes in the Brown Act or new court interpretations are available at **www.cacities.org/opengovernment**. A current version of the Brown Act may be found at **www.leginfo.ca.gov**.

Chapter 6

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Chapter 6

REMEDIES

Certain violations of the Brown Act are designated as misdemeanors, although by far the most commonly used enforcement provisions are those that authorize civil actions to invalidate specified actions taken in violation of the Brown Act and to stop or prevent future violations. Still, despite all the safeguards and remedies to enforce them, it is ultimately impossible for the public to monitor every aspect of public officials' interactions. Compliance ultimately results from regular training and a good measure of self-regulation on the part of public officials. This chapter discusses the remedies available to the public when that self-regulation is ineffective.

Invalidation

Any interested person, including the district attorney, may seek to invalidate certain actions of a legislative body on the ground that they violate the Brown Act.[1] Violations of the Brown Act, however, cannot be invalidated if they involve the following types of actions:

- Those taken in substantial compliance with the law. No Brown Act violation is found when the given notice substantially complies with the Brown Act, even when the notice erroneously cites to the wrong Brown Act section, but adequately advises the public that the Board will meet with legal counsel to discuss potential litigation in closed session;[2]
- Those involving the sale or issuance of notes, bonds or other indebtedness, or any related contracts or agreements;
- Those creating a contractual obligation, including a contract awarded by competitive bid for other than compensation for professional services, upon which a party has in good faith relied to its detriment;
- Those connected with the collection of any tax; or
- Those in which the complaining party had actual notice at least 72 hours prior to the regular meeting or 24 hours prior to the special meeting, as the case may be, at which the action is taken.

Before filing a court action seeking invalidation, a person who believes that a violation has occurred must send a written "cure or correct" demand to the legislative body. This demand must clearly describe the challenged action and the nature of the claimed violation. This demand must be sent within 90 days of the alleged violation or 30 days if the action was taken in open session but in violation of Section 54954.2, which requires (subject to specific exceptions) that only properly agendized items are acted on by the governing body during a meeting.[3] The legislative body then has up to 30 days to cure and correct its action. If it does not act, any lawsuit must be filed within the next 15 days. The purpose of this requirement is to offer the body an opportunity to consider whether a violation has occurred and to weigh its options before litigation is filed.

Although just about anyone has standing to bring an action for invalidation,[4] the challenger must show prejudice as a result of the alleged violation.[5] An action to invalidate fails to state a cause of action against the agency if the body deliberated but did not take an action.[6]

Applicability to Past Actions

Any interested person, including the district attorney, may file a civil action to determine whether past actions of a legislative body occurring on or after January 1, 2013 constitute violations of the Brown Act and are subject to a mandamus, injunction, or declaratory relief action.[7] Before filing an action, the interested person must, within nine months of the alleged violation of the Brown Act, submit a "cease and desist" letter to the legislative body, clearly describing the past action and the nature of the alleged violation.[8] The legislative body has 30 days after receipt of the letter to provide an unconditional commitment to cease and desist from the past action.[9] If the body fails to take any action within the 30-day period or takes an action other than an unconditional commitment, a lawsuit may be filed within 60 days.[10]

The legislative body's unconditional commitment must be approved at a regular or special meeting as a separate item of business and not on the consent calendar.[11] The unconditional commitment must be substantially in the form set forth in the Brown Act.[12] No legal action may thereafter be commenced regarding the past action.[13] However, an action of the legislative body in violation of its unconditional commitment constitutes an independent violation of the Brown Act and a legal action consequently may be commenced without following the procedural requirements for challenging past actions.[14]

The legislative body may rescind its prior unconditional commitment by a majority vote of its membership at a regular meeting as a separate item of business not on the consent calendar. At least 30 days written notice of the intended rescission must be given to each person to whom the unconditional commitment was made and to the district attorney. Upon rescission, any interested person may commence a legal action regarding the past actions without following the procedural requirements for challenging past actions.[15]

PRACTICE TIP: A lawsuit to invalidate must be preceded by a demand to cure and correct the challenged action in order to give the legislative body an opportunity to consider its options. The Brown Act does not specify how to cure or correct a violation; the best method is to rescind the action being complained of and start over, or reaffirm the action if the local agency relied on the action and rescinding the action would prejudice the local agency.

Civil action to prevent future violations

The district attorney or any interested person can file a civil action asking the court to:

- Stop or prevent violations or threatened violations of the Brown Act by members of the legislative body of a local agency;
- Determine the applicability of the Brown Act to actions or threatened future action of the legislative body;
- Determine whether any rule or action by the legislative body to penalize or otherwise discourage the expression of one or more of its members is valid under state or federal law; or
- Compel the legislative body to tape record its closed sessions.

It is not necessary for a challenger to prove a past pattern or practice of violations by the local agency in order to obtain injunctive relief. A court may presume when issuing an injunction that a single violation will continue in the future where the public agency refuses to admit to the alleged violation or to renounce or curtail the practice.[16] Note, however, that a court may not compel elected officials to disclose their recollections of what transpired in a closed session.[17]

Upon finding a violation of the Brown Act pertaining to closed sessions, a court may compel the legislative body to tape record its future closed sessions. In a subsequent lawsuit to enforce the Brown Act alleging a violation occurring in closed session, a court may upon motion of the plaintiff review the tapes if there is good cause to think the Brown Act has been violated, and make public the relevant portion of the closed session recording.

Costs and attorney's fees

Someone who successfully invalidates an action taken in violation of the Brown Act or who successfully enforces one of the Brown Act's civil remedies may seek court costs and reasonable attorney's fees. Courts have held that attorney's fees must be awarded to a successful plaintiff unless special circumstances exist that would make a fee award against the public agency unjust.[18] When evaluating how to respond to assertions that the Brown Act has been violated, elected officials and their lawyers should assume that attorney's fees will be awarded against the agency if a violation of the Act is proven.

An attorney's fee award may only be directed against the local agency and not the individual members of the legislative body. If the local agency prevails, it may be awarded court costs and attorney's fees if the court finds the lawsuit was clearly frivolous and lacking in merit.[19]

PRACTICE TIP: Attorney's fees will likely be awarded if a violation of the Brown Act is proven.

Criminal complaints

A violation of the Brown Act by a member of the legislative body who acts with the improper intent described below is punishable as a misdemeanor.[20]

A criminal violation has two components. The first is that there must be an overt act — a member of a legislative body must attend a meeting at which action is taken in violation of the Brown Act.[21]

"Action taken" is not only an actual vote, but also a collective decision, commitment or promise by a majority of the legislative body to make a positive or negative decision.[22] If the meeting involves mere deliberation without the taking of action, there can be no misdemeanor penalty.

A violation occurs for a tentative as well as final decision.[23] In fact, criminal liability is triggered by a member's participation in a meeting in violation of the Brown Act — not whether that member has voted with the majority or minority, or has voted at all.

The second component of a criminal violation is that action is taken with the intent of a member "to deprive the public of information to which the member knows or has reason to know the public is entitled" by the Brown Act.[24]

As with other misdemeanors, the filing of a complaint is up to the district attorney. Although criminal prosecutions of the Brown Act are uncommon, district attorneys in some counties aggressively monitor public agencies' adherence to the requirements of the law.

Some attorneys and district attorneys take the position that a Brown Act violation may be pursued criminally under Government Code section 1222.[25] There is no case law to support this view; if anything, the existence of an express criminal remedy within the Brown Act would suggest otherwise.[26]

Voluntary resolution

Arguments over Brown Act issues often become emotional on all sides. Newspapers trumpet relatively minor violations, unhappy residents fume over an action, and legislative bodies clam up about information better discussed in public. Hard lines are drawn and rational discussion breaks down. The district attorney or even the grand jury occasionally becomes involved. Publicity surrounding alleged violations of the Brown Act can result in a loss of confidence by constituents in the legislative body. There are times when it may be preferable to consider re-noticing and rehearing, rather than litigating, an item of significant public interest, particularly when there is any doubt about whether the open meeting requirements were satisfied.

At bottom, agencies that regularly train their officials and pay close attention to the requirements of the Brown Act will have little reason to worry about enforcement.

ENDNOTES:

1 California Government Code section 54960.1. Invalidation is limited to actions that violate the following sections of the Brown Act: section 54953 (the basic open meeting provision); sections 54954.2 and 54954.5 (notice and agenda requirements for regular meetings and closed sessions); 54954.6 (tax hearings); 54956 (special meetings); and 54596.5 (emergency situations). Violations of sections not listed above cannot give rise to invalidation actions, but are subject to the other remedies listed in section 54960.1.

2 *Castaic Lake Water Agency v. Newhall County Water District* (2015) 238 Cal.App.4th 1196, 1198

3 California Government Code section 54960.1 (b) and (c)(1)

4 *McKee v. Orange Unified School District* (2003) 110 Cal. App.4th 1310, 1318-1319

5 *Cohan v. City of Thousand Oaks* (1994) 30 Cal.App.4th 547, 556, 561

6 *Boyle v. City of Redondo Beach* (1999) 70 Cal.App.4th 1109, 1116-17, 1118

7 Government Code Section 54960.2(a); Senate Bill No. 1003, Section 4 (2011-2012 Session)

8 Government Code Sections 54960.2(a)(1), (2)

9 Government Code Section 54960.2(b)

10 Government Code Section 54960.2(a)(4)

11 Government Code Section 54960.2(c)(2)

12 Government Code Section 54960.2(c)(1)

13 Government Code Section 54960.2(c)(3)

14 Government Code Section 54960.2(d)

15 Government Code Section 54960.2(e)

16 *California Alliance for Utility Safety and Education (CAUSE) v. City of San Diego* (1997) 56 Cal.App.4th 1024; *Common Cause v. Stirling* (1983) 147 Cal.App.3d 518, 524; *Accord Shapiro v. San Diego City Council* (2002) 96 Cal. App. 4th 904, 916 & fn.6

17 *Kleitman v. Superior Court* (1999) 74 Cal.App.4th 324, 334-36

18 *Los Angeles Times Communications, LLC v. Los Angeles County Board of Supervisors* (2003) 112 Cal. App.4th 1313, 1327-29 and cases cited therein

19 California Government Code section 54960.5

20 California Government Code section 54959. A misdemeanor is punishable by a fine of up to $1,000 or up to six months in county jail, or both. California Penal Code section 19. Employees of the agency who participate in violations of the Brown Act cannot be punished criminally under section 54959. However, at least one district attorney instituted criminal action against employees based on the theory that they criminally conspired with the members of the legislative body to commit a crime under section 54949.

21 California Government Code section 54959

22 California Government Code section 54952.6

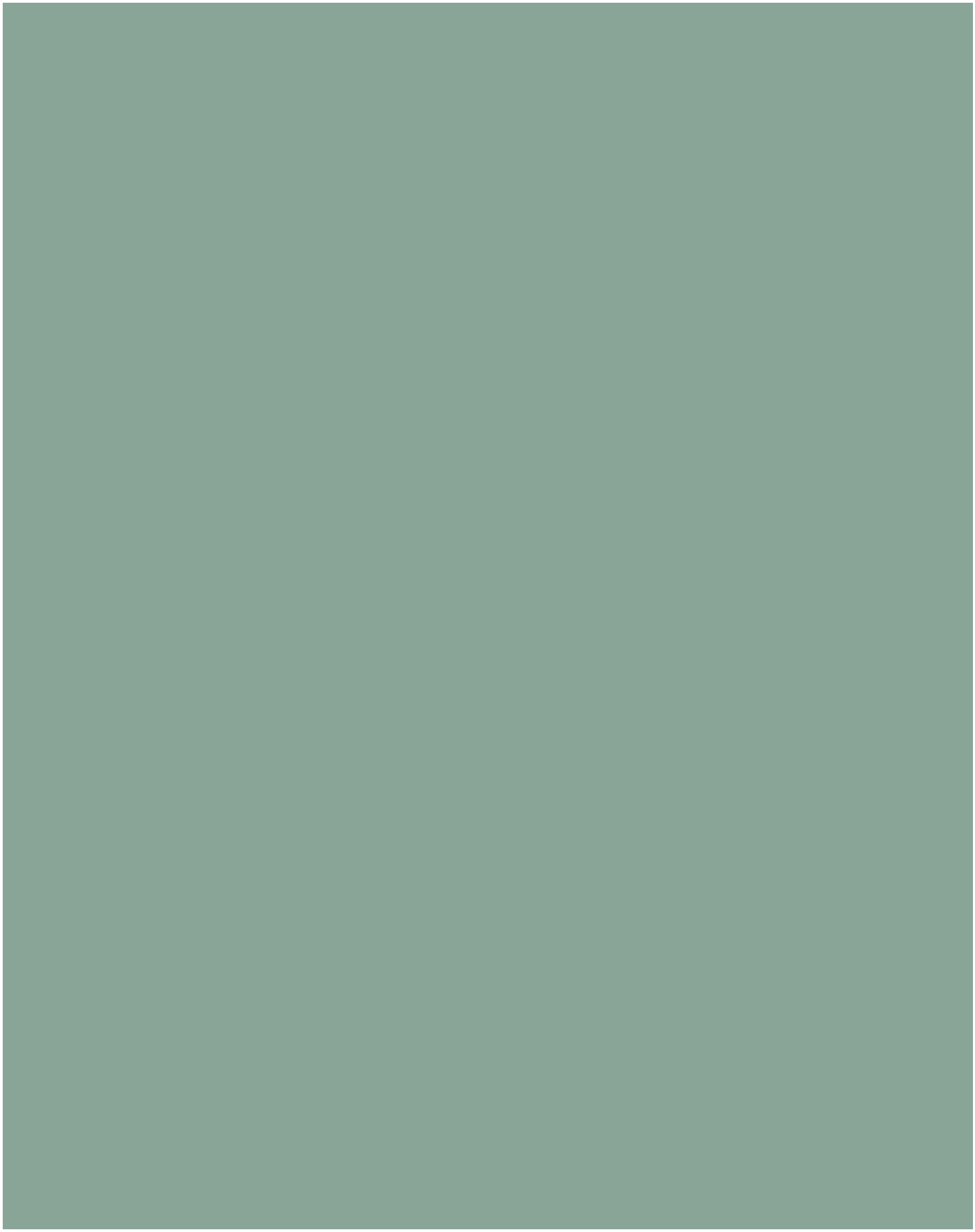
23 61 Ops.Cal.Atty.Gen.283 (1978)

24 California Government Code section 54959

25 California Government Code section 1222 provides that "[e]very wilful omission to perform any duty enjoined by law upon any public officer, or person holding any public trust or employment, where no special provision is made for the punishment of such delinquency, is punishable as a misdemeanor."

26 The principle of statutory construction known as *expressio unius est exclusio alterius* supports the view that section 54959 is the exclusive basis for criminal liability under the Brown Act.

Updates to this publication responding to changes in the Brown Act or new court interpretations are available at www.cacities.org/opengovernment. A current version of the Brown Act may be found at www.leginfo.ca.gov.



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CITY OF ST. HELENA

RESOLUTION NO. 2021-63

RESCINDING RESOLUTION NO. 2019-18 ADOPTING RULES OF PROCEDURE FOR THE CONDUCT OF COUNCIL MEETINGS AND CITY COUNCIL STANDARDS OF CONDUCT, AND RE-ESTABLISHING RULES OF PROCEDURE FOR THE CONDUCT OF COUNCIL MEETINGS AND RE-ESTABLISHING CITY COUNCIL STANDARDS OF CONDUCT

RECITALS

A. WHEREAS, City Council Rules of Procedure for the Conduct of Council Meetings are established to provide an effective environment for the City Council to provide leadership; and

B. WHEREAS, City Council Standards of Conduct are established to provide guidance to Council Members to assist in fully understanding the role and scope of the responsibilities of office; and

C. WHEREAS, City Council reviews City Council Rules of Procedure for the Conduct of Council Meetings and reviews City Council Standards of Conduct and revise as deemed necessary; and

D. WHEREAS, on May 11, 2021 the City Council adopted a new Council Vision and Council Mission; and

E. The City Council Rules of Procedure for the Conduct of Council Meetings & Standards of Conduct have been updated to include the new Council Vision and Council Mission.

RESOLUTION

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

1. Resolution No. 2019-18 Adopting Rules of Procedure for the Conduct of Council Meetings is hereby rescinded; and
2. City Council Rules of Procedure and Standards of Conduct are adopted and hereby made part of this resolution. Attached hereby as Exhibit A.

Approved at a Regular Meeting of the St. Helena City Council on May 11, 2021, by the following vote:

Mayor Geoff Ellsworth:	**Yes**
Vice Mayor Paul Dohring:	**Yes**
Council Member Anna Chouteau:	**Yes**
Council Member Lester Hardy:	**Yes**
Council Member Eric Hall:	**Yes**

APPROVED:

Geoff Ellsworth, Mayor

ATTEST:

Cindy Tzafopoulos, City Clerk

CITY OF ST. HELENA
Incorporated March 24, 1876
Re-incorporated May 14, 1886
STATE OF CALIFORNIA

Exhibit A - City Council Rules of Procedure and Standards of Conduct

Exhibit A

CITY COUNCIL

RULES OF PROCEDURE FOR THE CONDUCT OF COUNCIL MEETINGS

&

STANDARDS OF CONDUCT

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Exhibit–*Rosenberg's Rules of Order*: Simple Parliamentary Procedures for the 21st Century

1. PURPOSE

The purpose for establishing City Council Protocols is to provide an effective environment for the City Council to provide leadership. The protocols may be amended by resolution adopted by a majority vote of the Council Members and should be reviewed on a regular basis to ensure that the document remains helpful to the Council by providing a framework for effective leadership.

The protocols set forth herein are not intended to limit the inherent power and general legal authority of the City Council. Any of the protocols herein may be waived by a majority vote of the Council Members when it is deemed that there is good cause to do so based upon the particular facts and circumstances.

1.1 Council-Manager Form of Government

The City of St. Helena operates according to the Council-Manager form of government which vests authority in an elected City Council which, in turn, hires an appointed executive, the City Manager. The City Council is composed of five members elected from the City on a nonpartisan basis to serve overlapping four-year terms. The Mayor is elected at-large to serve a two-year term as presiding officer at City Council meetings and as the official head of the City for legislative and ceremonial purposes. The City Manager is appointed by the City Council and serves at the pleasure of that body.

The City Council is the City's legislative and policy-making body. Acting as a whole, the City Council is responsible for setting the direction of City policy and for adopting ordinances, resolutions and other orders as necessary for governing the City. The City Manager is responsible for the overall administration of the City, which includes implementation of the general policies set by the City Council in addition to the day-to-day operation of all City functions. The City Manager, with the help of the Staff, provides the City Council with the information needed to fulfill its policy-making role.

The Council-Manager form of government separates legislative and executive responsibilities in a manner similar to state and federal governments. This system provides "checks and balances" of both policy and administrative branches of government by limiting the power of each.

1.2 City Council Vision and City Council Mission

Council Vision

St. Helena strives to be a diverse, inclusive, family-friendly, economically and environmentally sustainable community which prudently manages all of its resources, continues to improve its infrastructure, ensures its water security, provides a full range of housing, business, cultural and recreational

opportunities and cherishes its historic, small-town character, beautiful natural environment and high quality of life.

Council Mission

The City of St. Helena is dedicated to serving its citizens by:

- Promoting a culture of equity, diversity and inclusion
- Supporting thriving families and ensuring the health and wellbeing of our youth
- Ensuring our long-term economic sustainability and focusing on new and diverse sources of revenue
- Preventing, preparing for, and mitigating fire and other local emergencies
- Improving and maintaining City infrastructure
- Updating our water management policies to ensure an adequate water supply
- Responding innovatively to climate change challenges and adopting environmentally sustainable best practices
- Preserving our historic, small-town, rural character
- Expanding recreational, active transportation and cultural opportunities
- Facilitating innovative, well-designed housing for residents of all backgrounds, ages and income levels
- Encouraging full civic participation and ongoing communication
- Strengthening regional collaboration with other public entities and building partnerships with local service providers and stakeholders

(See Resolution Number 2021-__, dated May 11, 2021.)

2. RULES OF PROCEDURE FOR THE CONDUCT OF COUNCIL MEETINGS

2.1 Regular Meeting

The Council shall hold a Regular Meeting on the second and fourth Tuesday of each month, except that the Council may by motion at a Regular Meeting and with adequate public notice, either cancel that meeting or reschedule it to some other date.

Regular Meetings shall be held at the Vintage Hall Board Room, 465 Main Street, St. Helena, and shall begin at 6:00 p.m. If it is necessary to hold a closed session prior to the start of a Regular Meeting, the closed session may begin earlier than the normal starting time to allow the Regular Meeting to begin at 6:00 p.m. The closed session shall begin in an open meeting and the Council shall adjourn to closed session.

2.2 Special, Emergency, and Adjourned Meetings

(a) **Special Meetings**. The Mayor or the Vice Mayor in the Mayor's absence or a majority of the members of the Council or the City Manager may at any time call a Special Meeting. At least twenty-four hours before a Special Meeting, written notice of the meeting stating its time and place and the subjects to be considered shall be (a) delivered to the Mayor and each Councilmember personally or by any other means; (b) posted on the Council's principal bulletin board, City website and place of meeting; and (c) emailed to the agenda subscribers. Only those items of business specified in the notice may be considered at a Special Meeting called in this manner.

(b) **Emergency Meeting.** The Council may hold an Emergency Meeting in emergency situations as set forth in the City's Municipal Code and State Law.

(c) **Adjourned Meeting**. A properly called Regular, Special, or Emergency Meeting may be adjourned to a time and place specified. A copy of the notice of adjournment shall be posted as specified on the door of the place where the meeting was held within twenty-four hours after the time of the adjournment. Further notice need not be given of an adjourned session of a properly called Regular, Special, or Emergency Meeting.

2.3 Regular Meeting Agenda

(a) **Setting and Posting of Agenda.** The agenda of business to come before the Council at a Regular Meeting shall normally be closed at the end of eighteen business days preceding the meeting. Under State Law the agenda for a Regular Meeting must be posted at least seventy-two (72) hours prior to the scheduled convening of the Regular Meeting, and no items may be added to the agenda fewer than seventy-two (72) hours prior to the meeting except as may be allowed by State Law. The City Council endeavors to publish the meeting agenda at least ten days prior to the meeting.

(b) **Placing Items on the Council Agenda.** Each City Council agenda shall specifically provide for a discussion of Future Agenda Items. Any Council Member may request that an item be considered on a future agenda during that portion of the City Council meeting and, upon agreement by a second Council Member concurring that Staff time and City resources should be expended on the item, the item shall be placed on the soonest practical regularly scheduled Council meeting as determined by the City Manager. A member of the public may request that an item be placed on a future agenda during Public Forum or through other communication with a Council Member. Staff reports may not be prepared on Council Member requested items until Council discussion has occurred and direction provided by the Council unless Staff otherwise determines. If Council action is contemplated, proposed action shall be included in the Staff report. The City

Manager may also add any item of business to a future agenda in his or her sole discretion.

(c) **Agenda Packet Distribution.** Each Councilmember shall be furnished a copy of the agenda and the package of agenda material by 5:00 p.m., on the Friday eleven days preceding a Regular Meeting, and the agenda and agenda materials shall be available for public inspection and distribution or copying at that time. Each Councilmember may opt out from receiving a paper agenda and instead receive and review the agenda electronically on a City issued iPad. Any agenda materials not included in the agenda package by 5:00 p.m., that Friday shall be separately identified, and the Council may by majority vote continue such agenda item until the following meeting to allow for proper study of the materials.

(d) **Order of Agenda.** The business of the Council shall be taken up for consideration in substantially the following order except as may be otherwise ordered:

1. Call to Order
2. Pledge of Allegiance
3. Roll Call
4. Public Forum
5. Reports by Staff and City Council, Future Agenda Items and AB 1234 Reports
6. Presentations and Public Recognitions
7. Staff Briefing
8. Consent Items and Items Removed from Consent
9. Public Hearings
10. Old Business
11. New Business
12. Items likely to be placed on the next or future meeting agenda.
13. Adjournment

(e) A copy of the agenda and the package of agenda materials shall be made available for public inspection at City Hall and at the St. Helena Public Library at or near the time they are circulated to the City Council.

2.4 Public Testimony and Comments Before the Council

(a) **Addressing the Council Generally.** Each person addressing the Council may give his or her name and address (optional) in an audible tone of voice for the record. Each person's comments are limited to four minutes except as provided in section (b) regarding land use Public Hearings. In the further interest of time, speakers may be asked to limit their comments to

new materials and not repeat what a prior speaker said. Organized groups may choose a single spokesperson who may speak for the group. Speakers may not concede their allotted time to another speaker. The Mayor may extend time for the speaker.

(b) **Addressing Council at Land Use Public Hearings.** An applicant appellant at a land use Public Hearing shall be permitted to address the Council for 15 minutes following the Staff report. If there is a spokesperson for the opposition, the spokesperson shall be permitted to speak for 15 minutes. All other speakers are limited to four minutes each. Applicant shall first be permitted five minutes at close of public comments for rebuttal. If the applicant is the appellee the appellant shall have 15 minutes, the applicant appellee shall have 15 minutes, the appellant five minutes, and the applicant appellee five minutes.

(c) **Presentation by Spokesperson.** Whenever any group of persons wishes to address the Council on the same subject matter, it shall be proper for the Mayor to request that a spokesperson be chosen by the group to address the Council, and, in case additional matters are to be presented at the time by any other member of the group, to limit the number of persons so addressing the Council so as to avoid unnecessary repetition before the Council.

(d) **Irrelevant Testimony.** The Mayor shall rule out of order any testimony not relevant to the agenda item then under discussion.

(e) **Protocol.** The purpose of public testimony is for Councilmembers to benefit from the views of the public. Comments from the public should be directed towards the Council. Councilmembers and Staff should avoid entering into a dialogue with members of the public who may address the Council. Questions raised by members of the public may be referred to Staff.

(f) **Public Comment on Agendized Items.** Members of the public are entitled to speak on any item on the agenda during a Public Hearing on the subject matter opened by the Mayor. Each person is entitled to speak on any agenda item only once at any meeting, and the right to speak at the appropriate time waives any further right to address the Council on that item at that meeting. Participation in debate on any item before the Council shall be limited to members of the Council, although Councilmembers may ask members of the public for additional information.

(g) **Public Comment on Non-Agendized Items.** Members of the public are entitled to speak on matters of municipal concern not on the agenda, during consideration of that portion of the meeting agenda entitled "Public Forum" when that item is called by the Mayor. Each person is entitled to speak on non-agendized items only once at any meeting. Brief questions by Councilmembers for clarifications may be posed and answered, and Councilmembers may make requests that items be placed on future

agendas, but in accordance with State Law, no substantive discussion may take place unless and until the matter properly appears on the agenda.

2.5 Roll Call and Voice Votes

A roll call vote shall be taken on the approval of the Consent Calendar, the introduction of ordinances, and the adoption of ordinances, resolutions, and orders for the payment of money. Roll call votes shall be entered in the minutes of the Council showing those members voting yes, those voting no, and those abstaining or absent.

Any other motion may be passed by voice vote provided, however, that any Councilmember may request a roll call vote on any items to be voted on.

2.6 Consent Items

Those items on the agenda considered routine by the City Manager shall be grouped together under "Consent Items" and the recommended actions approved by a single vote of the Council. At the request of any Councilmember or any other person, a Consent Item shall be considered separately following approval of the remaining "Consent Items." Items approved under the heading "Consent Items" will appear in the Council minutes in their proper form, as if approved item by item.

2.7 Reports

Under the agenda heading "Reports" the City Manager, other City Staff, and Councilmembers may make reports on matters not on the agenda. Also at this time, Councilmembers or Staff may identify issues or agenda items that need to be addressed by the City Attorney during the meeting, and may propose future agenda items.

2.8 Closing Time of Council Meetings

Council meetings shall adjourn by 9:00 p.m. However, the Council may by majority vote extend the meeting up to an additional thirty minutes (9:30 p.m.) if the Council deems such extension necessary. A unanimous Council vote shall be required to extend the meeting past 9:30 p.m. and adjourn by 10:00 p.m. Otherwise, the meeting shall be adjourned to another day acceptable to the Council, or unfinished business may be continued to the next regular meeting.

2.9 Old Business

"Old Business" will include uncompleted items carried over from a prior meeting agenda and placed under this agenda heading for consideration.

2.10 New Business

The Council shall not consider any resolution, motion, or matter which does not affect the conduct of the business of the City of St. Helena or its corporate powers or duties as a municipal corporation nor shall the Council consider any resolution or motion supporting or disapproving any legislation or action pending in the Legislature of the State of California, the Congress of the United States or before any officer or agency of the State or Nation unless such proposed legislation or action, if adopted, will affect the conduct of the municipal business or the powers and duties of the City of St. Helena or its officers or employees as such.

2.11 Office of the Mayor

The Mayor shall preside at meetings of the Council, shall be entitled to vote on all matters, and shall be considered a Councilmember for all purposes, including the determination of whether a quorum is present. The Mayor will recognize members that wish to speak.

The Mayor shall have the following powers:

a) To rule motions in or out of order, including any motion patently offered for obstructive or dilatory purposes;

b) To enforce the Council's rules regarding public testimony and to determine whether a speaker has gone beyond reasonable standards of courtesy in his or her remarks and to entertain and rule on objections from other members on this ground;

c) To ensure that the public has reasonable opportunity to be heard;

d) To entertain and answer questions of parliamentary law or procedure;

e) To call a brief recess at any time;

f) To adjourn in an emergency;

g) To appoint a Vice Mayor subject to Council approval who shall serve during the term of the Mayor, and becomes the Mayor Pro Tempore in the Mayor's absence.

2.12 Office of Mayor Pro Tempore

A Councilmember who serves as Mayor pro tempore shall be entitled to vote on all matters and shall be considered a Councilmember for all purposes, including the determination of whether a quorum is present. In the Mayor's absence, the Mayor pro tempore shall have the Mayor's powers and duties. If the Mayor should become physically or mentally unable to perform the duties of his or her office, the other Councilmembers may by unanimous vote declare the Mayor is incapacitated and confer the Mayor's powers and duties on the Mayor pro tempore.

When the Mayor declares that he or she is no longer incapacitated, and a majority of the Council concurs, the Mayor shall resume the exercise of his or her powers and duties. If both the Mayor and the Mayor pro tempore are absent from a

meeting, the Council may elect from among its members a temporary chair to preside at the meeting.

2.13 Action by the Council

Action by the Council shall be by motions made and voted upon. A motion shall require a second. The Mayor and any other Councilmember may make or second a motion. A substantive motion is out of order while another substantive motion is pending.

2.14 Adoption by Majority Vote

A motion shall be adopted by a majority of the votes cast, a quorum being present, unless otherwise required by these rules or the laws of California. Resolutions, orders for the payment of money, and all ordinances require at least three votes for passage.

2.15 Discussion

The City Council shall address an agenda item as follow:

(a) Staff shall introduce the agenda item and present the Staff report.

(b) City Council shall ask questions of Staff.

(c) The Mayor will invite public comment on the item.

(d) Having received all public testimony, the Council will deliberate on the matter.

(e) If appropriate, the Mayor will entertain a motion, including any motion proposed by the Mayor.

(f) If a motion has received a second, the Mayor shall state the motion and if any Council Member wishes for the discussion, open for additional Council discussion.

(g) The Mayor shall preside over the discussion according to the following general principles:

1. The maker of the motion is entitled to speak first;
2. A person who has not spoken on the issue shall be recognized before someone who has already spoken;
3. To the extent possible, the discussion shall alternate between opponents and proponents of the measure.

2.16 Ratification of Actions

To the extent permitted by law, the Council may ratify actions taken on its behalf but without its prior approval. A motion to ratify is a substantive motion.

2.17 Procedural Motions

(a) In addition to substantive proposals, the following procedural motions, and no others, shall be in order. Unless otherwise noted, each motion is debatable, may be amended, and requires a majority of the votes cast, a quorum being present, for adoption.

(b) To Adjourn. The motion may be made only at the conclusion of action of a pending substantive matter; it cannot interrupt deliberation of a pending matter.

(c) To Take a Brief Recess.

(d) Call to Follow the Agenda. The motion must be made at the first reasonable opportunity, or the right to make it is waived for the out-of-order item in question.

(e) To Suspend the Rules. The motion requires for adoption a vote of a majority of the quorum of the Council. The Council may not suspend provisions of the rules that are state requirements imposed by law on the Council.

(f) To Divide a Complex Motion and Consider It by Paragraph.

(g) To Call the Previous Question. The motion is not in order until every member has had an opportunity to speak once.

(h) To Continue an Item to a Future Meeting Certain.

(i) To Refer to Staff for Action.

(j) To Amend. An amendment to a motion must be pertinent to the subject matter of the motion. An amendment is improper if the amended motion has the same effect as rejection of the original motion. A motion may be amended, and that amendment may be amended, but no further amendments may be made until the last amendment is disposed of by a vote.

(k) To Reconsider. The motion must be made by a member who voted with the prevailing side, and only at the meeting during which the original vote was taken, including any continuation of that meeting through adjournment to a time and place certain, or at the next Regular Meeting unless intervening actions taken based on the original action make such reconsideration impracticable. The motion cannot interrupt deliberation on a pending matter, but is in order at any time before final adjournment of the meeting.

(l) To Rescind or Repeal a Previous Action. A motion to rescind or repeal a previous action is not in order if the rescission or repeal is

forbidden by law or made inappropriate by virtue of actions taken in accordance with the previous action.

(m) To call for a Straw Vote. The Mayor, at the Mayor's discretion, may call for a Straw Vote among members on any item prior to inviting public testimony or Council comment.

2.18 Withdrawal of Motion

A motion may be withdrawn by the introducer at any time before a vote, with or without the consent of any "seconder" of the motion. However, any other Councilmember may ask to be considered the introducer of the motion and, if again seconded, debate may continue without further interruption.

2.19 Duty to Vote

Every member must vote on every item unless prevented from doing so by virtue of an actual or potential conflict of interest under applicable State Law. Any member who believes he or she has a conflict or potential conflict of interest must announce such at the initiation of discussion or when such conflict or potential conflict becomes apparent, and shall refrain from any part in the debate, deliberations, or voting on that issue, except as allowed by State Law.

2.20 Introduction and Passage of Ordinance

A proposed ordinance shall be deemed to be introduced on the date the subject matter is first voted on by the Council. The Mayor shall read the title of the ordinance, after which a roll call vote shall be taken to introduce the ordinance. The City Clerk shall then read the ordinance in its entirety unless such reading is waived by a separate motion adopted by unanimous vote of the Councilmembers present. An ordinance, other than an urgency, may not be passed within five days of its introduction or alteration. Corrections of typographical or clerical errors are not alterations.

2.21 Closed Sessions

(a) The Council may hold closed sessions only as provided for by law and according to the provisions herein.

(b) As part of any regular or special City Council meeting as appropriate, the City Council, the City Attorney, and relevant Staff may discuss and agree upon the need for any future closed sessions, including the legal authority for the closed session and the nature of the matter to be discussed, in adequate detail to meaningfully inform the public while maintaining required confidentiality and any applicable attorney-client privilege. Where the City Manager and City Attorney agree that the

nature of a matter requires consideration in closed session, the requirement for prior open session discussion shall not apply.

(c) The City Council agenda for any regular or special Council meeting shall include general information about closed sessions as follows:

> The City Council will convene in open session at the stated time, but will then adjourn to address any closed sessions items listed on the agenda. The public is invited to address the Council with comment on any listed closed session item immediately prior to Council's adjournment into closed session or consistent with any other provisions permitting public comment. The Council will reconvene in Public Session at 6:00 p.m. or at the first Council meeting following any closed session. At that time, if appropriate and as required under the Brown Act, any actions taken during the preceding closed session will be announced by the City Attorney or Mayor. If necessary, the Council may reconvene in closed session to continue discussion of listed items following the completion of open session business.

(d) The City Council agenda for any regular or special Council meeting at which the Council will adjourn to closed session shall provide notice of that closed session as provided for under the Brown Act and shall include a narrative description of the legal authority for the closed session and the nature of the matter to be discussed in adequate detail to inform the public while maintaining required confidentiality or any applicable attorney-client privilege. Reporting out of closed session shall be consistent with the requirements of Brown Act, and may be of greater detail than required when the disclosure of such detail is not inconsistent with maintaining required confidentiality and any applicable attorney-client privilege.

2.22 Quorum

A majority of the actual membership of the Council, including the Mayor but excluding vacant seats, shall constitute a quorum. A member who has withdrawn from a meeting without being excused by majority vote of the remaining members present shall be counted as present for purposes of determining whether or not a quorum is present.

2.23 Telephonic Attendance Of Council Members At Council Meetings

(a) The City Council Procedures provisions concerning Telephonic Attendance shall apply to all Boards and Commissions as well as the City Council. Requests by Council Members to attend a Council meeting via telephonic appearance are actively discouraged.

Telephonic attendance shall only be permitted in the event of extraordinary events such as a medical, family or similar emergency requiring a Council Member's absence. In addition, at least a quorum of the Council must participate from a location within the City (Government Code Section 54953(b)(3)).

(b) If these two threshold requirements are met, the Council Member who will be appearing telephonically must ensure that:

1. The meeting agenda identifies the teleconference location and is posted at that location in an area that is accessible and visible 24 hours a day for at least 72 hours prior to the meeting.

2. The teleconference location is open and fully accessible to the public, and fully accessible under the Americans with Disabilities Act, throughout the entire meeting. These requirements apply to private residences, hotel rooms, and similar facilities, all of which must remain fully open and accessible throughout the meeting, without requiring identification or registration.

3. The teleconference technology used is open and fully accessible to all members of the public, including those with disabilities.

4. Members of the public who attend the meeting at the teleconference location have the same opportunity to address the Council from the remote location that they would if they were present in Council Chambers.

5. The teleconference location must not require an admission fee or any payment for attendance.

6. If the Council Member determines that any or all of these requirements cannot be met, he or she shall not participate in the meeting via teleconference.

(c) Approved Teleconference Guidelines for Council Members:

1. One-week advance written notice must be given by the Council Member to the City Clerk's office; the notice must include the address at which the teleconferenced meeting will occur, the address the Council packet should be mailed to, who is to initiate the phone call to establish the teleconference connection, and the phone number of the teleconference location. Cellular telephones shall not be used to participate in teleconferenced meetings.

2. The Council Member is responsible for posting the Council agenda in the remote location, or having the agenda posted by somebody at the location and confirming that posting has occurred. The City Clerk will assist, if necessary, by faxing or mailing the agenda to whatever address or fax number the Council Member requests; however, it is the Council Member's responsibility to

ensure that the agenda arrives and is posted. If the Council Member will need the assistance of the City Clerk in delivery of the agenda, the fax number or address must be included in the one-week advance written notice above.

3. The Council Member must ensure that the location will be publicly accessible while the meeting is in progress.

4. The Council Member must state at the beginning of the Council meeting that the 72-hour posting requirement was met at the location and that the location is publicly accessible. The Council Member also must describe the location. Furthermore, the City Clerk will provide Council with a quarterly report detailing the telephone charges associated with teleconferenced meetings.

2.24 Public Hearings

Public Hearings shall be scheduled and notice published without any action required by the City Council, excepting that the Council may, if it so desires, scheduled a Public Hearing on an item of interest for a date certain. In order to accommodate members of the public responding to a noticed Public Hearing, such Hearings will, to the extent practicable, begin at 6:00 p.m. At the time designated for the Public Hearing, or soon after as is practicable, the Mayor shall direct the attention of the Council Members to the Staff report and Staff may respond to questions from Council members, after which the Mayor shall formally open the Public Hearing and members of the public shall be allowed to speak in accordance with the rules set forth elsewhere in these Rules of Procedure. When the allotted time expires, or when no one wishes to speak who has not done so, the Mayor shall declare the hearing closed.

Following the close of the Public Hearing, the Council may discuss or take action on the matter in accordance with these rules. The Mayor may in his or her discretion allow questions and/or comments from the public after close of Public Hearing.

2.25 Appointments to Committees and Boards

The City Clerk posts a Notice of Vacancy in the City designated posting locations, the City's website and sends a Media Release to the St. Helena Star advertising vacancies to Commissions, Committees and Boards.

Applicants must submit a completed application to the City Clerk and shall be interviewed by the Council at a special meeting prior to a regular meeting. Applicants are requested to list references on their applications and individual Council Members may contact those references as part of the interview process. Council Members contacting references should disclose this information during the appointment process.

Council reviews applicants for appointments to Commissions, Committees and Boards based on interviews and qualifications. Council shall rank all applicants from highest to lowest and appoint by ballot process. Mayor shall nominate applicants and appointments are subject to approval by the majority of Council.

Depending on the qualifications of the applicants and the needs of the City, there may be times when the City Council does not appoint an applicant who has applied. If an applicant is not appointed, the City Clerk will automatically readvertise for the vacant position(s) to seek additional applicants.

2.26 Rosenberg's Rules of Order: Simple Parliamentary Procedures for the 21st Century

All procedural matters not otherwise provided for in or controlled by state law or by any ordinance, resolution, rule or regulation of the City shall be governed by Rosenberg's Rules of Order: Simple Parliamentary Procedures for the 21st Century (attached as Exhibit). However, no ordinance, resolution, or other action of the Council shall be invalidated or the legality thereof otherwise affected by the failure or omission of the Council to observe or follow such rules. Certain procedures relating to motions, agenda item discussion, debate, and courtesies contained in *Rosenberg's Rules of Order:* Simple Parliamentary Procedures for the 21st Century are incorporated into this document, except to the extent they are modified by this Protocol document.

3. CITY COUNCIL STANDARDS OF CONDUCT

3.1 Policy Purpose

The St. Helena City Council adopts this Code of Ethics and Conduct to assure that all elected and appointed officials, while exercising their office, conduct themselves in a manner that will instill public confidence and trust in the fair operation and integrity of St. Helena's City government.

3.2 Ethics

The citizens and businesses of St. Helena are entitled to have fair, ethical and accountable local government. To this end, the public should have full confidence that their elected and appointed officials:

- Comply with both the letter and spirit of the laws and policies affecting the operations of government;
- Are independent, impartial and fair in their judgment and actions;
- Use their public office for the public good, not for personal gain; and
- Conduct public deliberations and processes openly, unless required by law to be confidential, in an atmosphere of respect and civility.

Therefore, members of the City Council, City Treasurer, and City Clerk and of all Boards, Committees and Commissions shall conduct themselves in accordance with the following ethical standards:

(a) **Act in the Public Interest.** Recognizing that stewardship of the public interest must be their primary concern, members will work for the common good of the people of St. Helena and not for any private or personal interest, and they will assure fair and equal treatment of all persons, claims and transactions coming before them.

(b) **Comply with both the spirit and the letter of the Law and City Policy.** Members shall comply with the laws of the nation, the State of California and the City of St. Helena in the performance of their public duties.

(c) **Conduct of Members.** The professional and personal conduct of members while exercising their office must be above reproach and avoid even the appearance of impropriety. Members shall refrain from abusive conduct, personal charges or verbal attacks upon the character or motives of other members of Council, Boards, Committees and Commissions, the Staff or public.

(d) **Respect for Process.** Members shall perform their duties in accordance with the processes and rules of order established by the City Council.

(e) **Conduct at Public Meetings.** Members shall prepare themselves for public issues, listen courteously and attentively to all public discussions before the body, and focus on the business at hand.

(f) **Decisions Based on Merit.** Members shall base their decisions on the merits and substance of the matter at hand, rather than on unrelated considerations. When making adjudicative decisions (those decisions where the member is called upon to determine and apply facts peculiar to an individual case), members shall maintain an open mind until the conclusion of the hearing on the matter and shall base their decisions on the facts presented at the hearing and the law.

(g) **Communication.** Members shall publicly disclose substantive information that is relevant to a matter under consideration by the body which they may have received from sources outside of the public decision-making process.

(h) **Conflict of Interest.** In order to assure their independence and impartiality on behalf of the common good and compliance with conflict of interest laws, members shall use their best efforts to refrain from creating an appearance of impropriety in their actions and decisions. Members shall not use their official positions to influence government decisions in which they have (a) a material financial interest, (b) an organizational responsibility or personal relationship which may give the appearance of a conflict of interest, or (c) a strong personal bias.

A member who has a potential conflict of interest regarding a particular decision shall disclose the matter to the City Attorney and reasonably cooperate with the City Attorney to analyze the potential conflict. If advised by the City Attorney to seek advice from the Fair Political Practices Commission (FPPC) or other appropriate state agency, a member shall not participate in a decision unless and until he or she has requested and received advice allowing the member to participate. A member shall diligently pursue obtaining such advice. The member shall provide the Mayor and the City Attorney a copy of any written request or advice, and conform his or her participation to the advice given. In providing assistance to members, the City Attorney represents the City and not individual members.

In accordance with the law, members shall disclose investments, interests in real property, sources of income, and gifts; and if they have a conflict of interest regarding a particular decision, shall not, once the conflict is ascertained, participate in the decision and shall not discuss or comment on the matter in any way to any person including other members unless otherwise permitted by law.

(i) **Gifts and Favors.** Members shall not take any special advantage of services or opportunities for personal gain, by virtue of their public office that is not available to the public in general. They shall refrain from accepting any gifts, favors or promises of future benefits which might compromise their independence of judgment or action or give the appearance of being compromised.

(j) **Confidential Information.** Members must maintain the confidentiality of all written materials and verbal information provided to members which is confidential or privileged. Members shall neither disclose confidential information without proper legal authorization, nor use such information to advance their personal, financial or other private interests.

(k) **Use of Public Resources.** Members shall not use public resources which are not available to the public in general (e.g., City Staff time,

equipment, supplies or facilities) for private gain or for personal purposes not otherwise authorized by law.

(l) **Representation of Private Interests.** In keeping with their role as stewards of the public interest, members of Council shall not appear on behalf of the private interests of third parties before the Council or any Board, Committee, Commission or proceeding of the City, nor shall members of Boards, Committees and Commissions appear before their own bodies or before the Council on behalf of the private interests of third parties on matters related to the areas of service of their bodies.

(m) **Advocacy.** Members shall represent the official policies or positions of the City Council, Board, Committee or Commission to the best of their ability when designated as delegates for this purpose. When presenting their individual opinions and positions, members shall explicitly state they do not represent their body or the City of St. Helena, nor will they allow the inference that they do. Councilmembers and Board, Committee and Commission members have the right to endorse candidates for all Council seats or other elected offices. It is inappropriate to mention or display endorsements during Council meetings, or Board, Committee and Commission meetings, or other official City meetings.

(n) **Policy Role of Members.** Members shall respect and adhere to the council-manager structure of St. Helena City government as outlined in the St. Helena City Code. In this structure, the City Council determines the policies of the City with the advice, information and analysis provided by City Staff, Boards, Committees and Commissions, and the public. Except as provided by the City Code, members shall not interfere with the administrative functions of the City or the professional duties of City Staff; nor shall they impair the ability of Staff to implement Council policy decisions.

(o) **Independence of Boards, Committees and Commissions.** Because of the value of the independent advice of Boards, Committees and Commissions to the public decision-making process, members of Council shall refrain from using their position to unduly influence the deliberations or outcomes of Board, Committee and Commission proceedings.

(p) **Positive Work Place Environment.** Members shall support the maintenance of a positive and constructive work place environment for City employees and for citizens and businesses dealing with the City. Members shall recognize their special role in dealings with City employees to in no way create the perception of inappropriate direction to Staff.

3.3 Code of Ethics and Conduct

The Code of Ethics and Conduct are designed to describe the manner in which elected and appointed officials should treat one another, City Staff, constituents, and others they come into contact with while representing the City of St. Helena.

(a) Elected and Appointed Officials' Conduct with Each Other in Public Meetings

Elected and appointed officials are individuals with a wide variety of backgrounds, personalities, values, opinions, and goals. Despite this diversity, all have chosen to serve in public office in order to preserve and protect the present and the future of the community. In all cases, this common goal should be acknowledged even though individuals may not agree on every issue.

1. *Honor the role of the chair in maintaining order*
   It is the responsibility of the chair to keep the comments of members on track during public meetings. Members should honor efforts by the chair to focus discussion on current agenda items. If there is disagreement about the agenda or the chair's actions, those objections should be voiced politely and with reason, following procedures outlined in parliamentary procedure.

2. *Practice civility and decorum in discussions and debate*
   Difficult questions, tough challenges to a particular point of view, and criticism of ideas and information are legitimate elements of debate by a free democracy in action. Free debate does not require nor justify, however, public officials to make belligerent, personal, impertinent, slanderous, threatening, abusive, or disparaging comments.

3. *Avoid personal comments that could offend other members*
   If a member is personally offended by the remarks of another member, the offended member should make notes of the actual words used and call for a "point of personal privilege" that challenges the other member to justify or apologize for the language used. The chair will maintain control of this discussion.

4. *Demonstrate effective problem-solving approaches*
   Members have a public stage and have the responsibility to show how individuals with disparate points of view can find common ground and seek a compromise that benefits the community as a whole.

(b) Elected and Appointed Officials' Conduct with the Public in Public Meetings

Making the public feel welcome is an important part of the democratic process. No signs of partiality, prejudice or disrespect should be evident on the part of individual members toward an individual participating in a public forum. Every effort should be made to be fair and impartial in listening to public testimony.

1. *Be welcoming to speakers and treat them with care and gentleness.*
    a. While questions of clarification may be asked, the official's primary role during public testimony is to listen.

2. *Be fair and equitable in allocating public hearing time to individual speakers.*
    a. The chair will determine and announce limits on speakers at the start of the public hearing process.

3. *Practice active listening*
    a. It is disconcerting to speakers to have members not look at them when they are speaking. It is fine to look down at documents or to make notes, but reading for a long period of time or gazing around the room gives the appearance of disinterest. Members shall try to be conscious of facial expressions, and avoid those that could be interpreted as "smirking," disbelief, anger or boredom.

4. *Maintain an open mind*
    a. Members of the public deserve an opportunity to influence the thinking of elected and appointed officials.

5. *Ask for clarification, but avoid debate and argument with the public*
    a. Only the chair – not individual members – can interrupt a speaker during a presentation. However, a member can ask the chair for a point of order if the speaker is off the topic or exhibiting behavior or language the member finds disturbing.

(c) Elected and Appointed Officials' Conduct with City Staff

Governance of a City relies on the cooperative efforts of elected officials, who set policy, appointed officials who advise the elected, and City Staff who implement and administer the Council's policies. Therefore, every effort should be made to be cooperative and show mutual respect for the contributions made by each individual for the good of the community.

1. *Treat all Staff as professionals*
    a. Clear, honest communication that respects the abilities, experience, and dignity of each individual is expected. Poor behavior towards Staff is not acceptable.

2. *Do not disrupt City Staff from their jobs*
    a. Elected and appointed officials should not disrupt City Staff while they are in meetings, on the phone, or engrossed in performing their job functions in order to have their individual needs met. Do not attend City Staff meetings unless requested by Staff – even if the elected or appointed official does not say anything, his or her presence implies support, shows partiality, may intimidate Staff, and hampers Staff's ability to do their job objectively.

3. *Never publicly criticize an individual employee*
    a. Elected and appointed officials should never express concerns about the performance of a City employee in public, to the employee directly, or to the employee's manager. Comments about Staff performance should only be made to the City Manager through private correspondence or conversation. Appointed officials should make their comments regarding Staff to the City Manager or the Mayor.

4. *Do not get involved in administrative functions*
    a. Elected and appointed officials acting in their individual capacity must not attempt to influence City Staff on the making of appointments, awarding of contracts, selecting of consultants, processing of development applications, or granting of City licenses and permits.

5. *Do not solicit political support from Staff*
    a. Elected and appointed officials should not solicit any type of political support (financial contributions, display of posters or lawn signs, name on support list, etc.) from City Staff. City Staff may, as private citizens with constitutional rights, support political candidates but all such activities must be done away from the workplace.

6. *No Attorney-Client Relationship*
    a. Members shall not seek to establish an attorney-client relationship with the City Attorney, including his or her Staff and attorneys contracted to work on behalf of the City. The City Attorney represents the City and not individual

members. Members who consult with the City Attorney cannot enjoy or establish an attorney-client relationship with the attorney.

(d) Council Conduct with Boards, Committees and Commissions

The City has established several Boards, Committees and Commissions as a means of gathering more community input. Citizens who serve on Boards, Committees and Commissions become more involved in government and serve as advisors to the City Council. They are a valuable resource to the City's leadership and should be treated with appreciation and respect.

1. *Respect Role of Liaison to City's Boards, Committees and Commissions*

   Several of the City's Boards, Committees and Commissions have a Council Member who serves as its Council liaison. The City Council will collectively review and approve liaison appointments annually. Council Members serving as liaisons should act as an advisor and resource to committee/board/commission members and the committee/board/commission's Staff liaison when issues regarding process, procedure, attendance, interpersonal or public relations arise.

2. *Respect that Boards, Committees and Commissions serve the community, not individual Councilmembers*

   The City Council appoints individuals to serve on Boards, Committees and Commissions, and it is the responsibility of Boards, Committees and Commissions to follow policy established by the Council. But Board, Committee and Commission members do not report to individual Councilmembers (whether or not they are serving as liaisons), nor should Councilmembers feel they have the power or right to threaten Board, Committee and Commission members with removal if they disagree about an issue. Appointment and re-appointment to a Board, Committee or Commission should be based on such criteria as expertise, ability to work with Staff and the public, and commitment to fulfilling official duties. A Board, Committee or Commission appointment should not be used as a political "reward."

3. *Be respectful of diverse opinions*

   A primary role of Boards, Committees and Commissions is to represent many points of view in the community and to provide the Council with advice based on a full spectrum of concerns and perspectives. Councilmembers may have a closer working relationship with some individuals serving on Boards, Committees and Commissions, but must

be fair and respectful of all citizens serving on Boards, Committees and Commissions.

4. *Keep political support away from public forums*
   Board, Committee and Commission members may offer political support to a Councilmember, but not in a public forum while conducting official duties. Conversely, Councilmembers may support Board, Committee and Commission members who are running for office, but not in an official forum in their capacity as a Councilmember.

(e) Elected and Appointed Officials' Conduct With Each Other and the Public in Private Encounters

1. *Continue Respectful Behavior in Private*
   The same level of respect and consideration of differing points of view that is deemed appropriate for public discussions, and set forth above in subsections (a) through (d), should be maintained in private conversations, including telephone calls, texts, e-mails or other forms of communication. Council Members and appointed officials shall refrain from abusive conduct, intimidation, bullying tactics, personal charges, or verbal attacks upon the character or motives of other members or the public.

2. *Be Aware of the Insecurity (Non-Confidentiality) of Written Notes, Texts, Voicemail and E-mail*
   Technology allows words written or said without much forethought to be distributed wide and far. Would you feel comfortable to have this note faxed to others? How would you feel if this voicemail message was played on a speakerphone in a full office? What would happen if this E-mail or text message were forwarded to others? Written notes, voicemail messages, texts and E-mail should be treated as potentially "public" communication.

3. *Understand that Even Private Conversations can have Public Presence*
   Elected and appointed officials are always on display — their actions, demeanor, fitness, mannerisms, language and timing and form of communication are monitored by people around them that they may not know. Lunch table conversations will be eavesdropped upon, parking lot debates will be watched, late-night e-mails will be questioned and casual comments between individuals before and after public meetings noticed.

3.4 Enforcement and Sanctions

(a) Acknowledgement of Code of Ethics and Conduct

Upon assuming office each Councilmember, and each Board, Committee and Commission Member ("Member"), shall sign a statement affirming that he or she has been provided with and has read the Code of Ethics and

Conduct. Each Councilmember, Board, Committee and Commission Member, shall adhere to the Code of Ethics and Conduct as well as the Council's Rules of Procedure. Councilmembers who do not sign an acknowledgement that they have read and understand the Code of Ethics and Conduct shall be ineligible for intergovernmental assignments or Council subcommittees. Board, Committee and Commission members who do not sign an acknowledgement that they have read and understand the Code of Ethics and Conduct are not eligible to hold office.

(b) *Ethics Training for Local Officials*

Councilmembers, City Treasurer, City Clerk, Board, Committee and Commission Members shall report annually to the City Clerk with respect to his or her compliance with State or City mandated requirements for ethics training. Councilmembers, City Treasurer, City Clerk, Board, Committee and Commission Members who are out of compliance with State or City mandated requirements for ethics training shall not represent the City on intergovernmental assignments or Council subcommittees and may be subject to sanctions.

(c) Behavior and Conduct

The St. Helena Code of Ethics and Conduct expresses standards of ethical conduct expected for members of the St. Helena City Council, Boards, Committees and Commissions. Each Member him or herself has the primary responsibility to assure that he or she understands and satisfies the ethical standards, so that the public can continue to have full confidence in the integrity of government. The chairs of Boards, Committees and Commissions and the Mayor and Council have the additional responsibility to intervene when actions of Members that appear to be in violation of the Code of Ethics and Conduct are brought to their attention. Without violating Brown Act serial meeting requirements, individual Members should point out to the offending Member perceived infractions of the Code of Ethics and Conduct. If the offenses continue, then the process under 3.4(e) 1-10 shall govern.

(d) *Council Authority*

Under California law, the Council does not have the legal authority to remove Members elected or appointed to the City Council or to otherwise deprive them of their office. However, as provided in Section 3.4(e) 9., a majority of the Councilmembers may remove a Councilmember from any or all Council honorary and/or ceremonial positions and ad-hoc and standing committees, as well as from positions with other governmental agencies or other organizations they hold by virtue of appointment by the City Council.

(e) *Process to Address Alleged Violation of Code of Ethics and Conduct*

1. *Complaint.* Where any person has substantial evidence that a Member has materially violated the Code of Ethics and Conduct, he or she may file a written statement with the City Clerk who will then provide it to the City Council, and the affected Member. The name of the complainant shall initially be redacted and kept confidential and not disclosed until it has been determined as provided in Section 3.4(e) 2 that there is substantial evidence that the Member has materially violated the Code of Ethics and Conduct.

   "*Substantial evidence*" means evidence that reasonably supports a conclusion. It does not mean simply any evidence, nor does it include mere opinions. It must be reasonable in nature, credible, and of solid value.

2. *Hearing Officer.* Upon receipt of a Complaint as provided in Section 3.4(e) 1., or upon the direction of the City Council, the Mayor, in consultation with the City Manager, shall make a preliminary determination whether there is substantial evidence to support a conclusion that a Member has materially violated the Code of Ethics and Conduct, thereby warranting the further proceedings below. If the Mayor either submitted the Complaint or is the subject of the Complaint, the Vice Mayor (and who is not the subject of the complaint) shall make the preliminary determination as provided above.

   If the Mayor (or, where the Mayor is disqualified as set forth above, the Vice Mayor) makes the initial determination that there is substantial evidence to support a conclusion that a Member has materially violated the Code of Ethics and Conduct, thereby warranting the further proceedings, he or she, in consultation with the City Manager, shall appoint an independent Hearing Officer to review and investigate the Complaint. If the Mayor either submitted the Complaint or is the subject of the Complaint, the Vice Mayor (and who is not the subject of the complaint) shall appoint the Hearing Officer as provided above.

   In the event both the Mayor and Vice Mayor are disqualified as set forth above or otherwise unable to carry out the duties under this Section, the Council member with the longest tenure shall do so. If two or more Council members have equal tenure, the Council member (who is not the subject of the Complaint) shall be selected by a process of drawing straws supervised by the City Clerk.

3. *Investigation.* To the extent reasonably practicable, the Hearing Officer shall investigate and report, within not more than thirty (30) days, as to whether there is substantial evidence in support of an allegation that a Member has materially violated the Code of Ethics and Conduct. If the Hearing Officer concludes that there is not substantial evidence to support an alleged violation, or that the violation was not material, he or she shall so report to the Council and the matter shall be deemed dismissed unless the Council directs that a public hearing be held pursuant to Section 3.4(e) 5. If the Hearing Officer concludes that there is substantial evidence to support an alleged material violation of the Code of Ethics and Conduct, he or she shall issue a report ("Report") to the City Council and the Member. The Hearing Officer shall allow the affected Member a reasonable

opportunity to provide any written comments, evidence and/or arguments which the Hearing Officer shall consider in the investigation and Report.

4. *Enforcement.* The City Council, in its sole discretion, shall enforce the Code of Ethics and Conduct against Members depending upon the extent and severity of the violation by means of either (i) a warning (ii) a written reprimand; (iii) censure; (iv) removal from assignments; or (v) other action as deemed appropriate to the City Council, including without limitation disavowal and/or disapproval of the Member's violation and/or other action and/or statement. The following procedure shall be utilized:

5. *Receipt of Report.* As reasonably practicable, within 30 days after receipt of the Report, the Council will hold a public hearing after which it will determine, among any other determination the Council may deem appropriate, whether the Complaint should be dismissed, a warning should be issued, a written reprimand should be issued, censure issued, or the Member should be removed from his or her office (only for Members other than Council members) or assignments. The City shall provide written notice of the public hearing and opportunity to be heard to the affected Member. The City Council determination shall be set forth in written findings that the Council may direct staff to prepare for subsequent Council approval.

6. *Dismissal.* Where the Council, based on the Report and any statement from the affected Member, determines that it is clear that no violation occurred or that only a trivial or de minimus violation occurred, or that the Complaint was motivated by revenge or other improper motive, the Council may dismiss the Complaint.

7. *Warning.* Where the Council, based on the Report and any statement from the affected Member, determines that there is some evidence that only a minor violation or a questionable practice has occurred, the Council may issue a written warning to the affected Member specifying the violation(s) and requesting corrective action.

8. *Reprimand.* Where the Council, based on the Report, any statement from the affected Member, and other evidence accepted, determines that there is substantial evidence that the Member has materially violated one or more provisions of the Code of Ethics and Conduct, the Council may adopt a resolution reprimanding the affected Member for their conduct, stating that any violations shall cease, and requesting corrective action. The affected Member may file a rebuttal to the Reprimand with the City Clerk which will become a matter of public record.

9. *Censure.* Where the Council, based on the Report, any statement from the affected Member, and other evidence accepted at a public hearing of the matter, determines that there is substantial evidence that the Member has materially violated one or more provisions of the Code of Ethics and Conduct, and that such violation(s) impugn the integrity or dignity of the City or that such violations are egregious or chronic in nature, then the Council may adopt a resolution censuring

the affected Member by condemning his or her actions, removing the Member from all appointive positions representing the City in front of other governments and agencies, demoting the affected Commissioner, Committee or Board member appointed by the City Council who holds a position of chairperson or vice chairperson, stating that the violations shall cease, and demanding corrective actions. The affected Member may file a rebuttal to the Censure with the City Clerk which will become a matter of public record.

10. *Removal from Office.* Notwithstanding any of the provisions in this Section 3.4, the City Council may remove any Commissioner, Committee or Board member appointed by the City Council at its pleasure, and nothing in the Code of Ethics and Conduct or these rules effects or diminishes such power nor vests such Commissioners or Board members with any additional rights.

3.5 Implementation

The Code of Ethics and Conduct is intended to be self-enforcing and is an expression of the standards of conduct for members expected by the City. It therefore becomes most effective when members are thoroughly familiar with it and embrace its provisions.

For this reason, this document shall be included in the regular orientations for candidates for City Council, City Treasurer, City Clerk, applicants to Board, Committee and Commissions, and newly elected and appointed officials. Members entering office shall sign a statement (example below) acknowledging they have read and understand the Code of Ethics and Conduct. In addition, the Code of Ethics and Conduct shall be periodically reviewed by the City Council, Boards, Committees and Commissions, and updated it as necessary.

Example:

I affirm that I have read and understand the City of St. Helena Code of Ethics and Conduct for Elected and Appointed Officials.

_____ _____

Signature Date

Exhibit

Rosenberg's Rules of Order: Simple Parliamentary Procedures for the 21st Century

LEAGUE OF CALIFORNIA CITIES

MISSION:

To restore and protect local control for cities through education and advocacy to enhance the quality of life for all Californians.

VISION:

To be recognized and respected as the leading advocate for the common interests of California cities.

About the League of California Cities

Established in 1898, the League of California Cities is a member organization that represents California's incorporated cities. The League strives to protect the local authority and autonomy of city government and help California's cities effectively serve their residents. In addition to advocating on cities' behalf at the state capitol, the League provides its members with professional development programs and information resources, conducts educational conferences and research, and publishes *Western City* magazine.

About *Western City* Magazine

Western City is the League of California Cities' monthly magazine. *Western City* provides lively, interdisciplinary analyses of issues affecting local governance. Its goal is to offer immediately practical ideas, information and bigger-picture policy issues and trends. For more information, visit www.westerncity.com.

"Rosenberg's Rules of Order" first appeared in *Western City* magazine in August and September 2005.

About the Author

Dave Rosenberg is an elected county supervisor representing the 4th District in Yolo County. He also serves as director of community and intergovernmental relations, director of operations, and senior advisor to the governor of California. He has served as a member and chair of numerous state and local boards, both appointed and elected, and also served on the Davis City Council for 12 years, including two terms as mayor. He has taught classes on parliamentary procedure and has served as parliamentarian for large and small governing bodies. In the fall of 2003, Gov. Davis appointed Rosenberg as a judge of the Yolo County Superior Court.

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Rosenberg's Rules of Order: Simple Parliamentary Procedures for the 21st Century

by Dave Rosenberg

The rules of procedure at meetings should be simple enough for most people to understand. Unfortunately, that hasn't always been the case. Virtually all clubs, associations, boards, councils and bodies follow a set of rules, *Robert's Rules of Order*, which are embodied in a small but complex book. Virtually no one I know has actually read this book cover to cover.

Worse yet, the book was written for another time and purpose. If you are running the British Parliament, *Robert's Rules of Order* is a dandy and quite useful handbook. On the other hand, if you're running a meeting of a five-member body with a few members of the public in attendance, a simplified version of the rules of parliamentary procedure is in order. Hence, the birth of "Rosenberg's Rules of Order."

This publication covers the rules of parliamentary procedure based on my 20 years of experience chairing meetings in state and local government. These rules have been simplified and slimmed down for 21st century meetings, yet they retain the basic tenets of order to which we are accustomed.

"Rosenberg's Rules of Order" are supported by the following four principles:

1. **Rules should establish order.** The first purpose of the rules of parliamentary procedure is to establish a framework for the orderly conduct of meetings.
2. **Rules should be clear.** Simple rules lead to wider understanding and participation. Complex rules create two classes: those who understand and participate and those who do not fully understand and do not fully participate.
3. **Rules should be user-friendly.** That is, the rules must be simple enough that citizens feel they have been able to participate in the process.
4. **Rules should enforce the will of the majority while protecting the rights of the minority.** The ultimate purpose of the rules of procedure is to encourage discussion and to facilitate decision-making by the body. In a democracy, the majority rules. The rules must enable the majority to express itself and fashion a result, while permitting the minority to also express itself (but not dominate) and fully participate in the process.

The Chairperson Should Take a Back Seat During Discussions

While all members of the governing body should know and understand the rules of parliamentary procedure, it is the chairperson (chair) who is charged with applying the rules of conduct. The chair should be well versed in those rules, because the chair, for all intents and purposes, makes the final ruling on the rules. In fact, all decisions by the chair are final unless overruled by the governing body itself.

Because the chair conducts the meeting, it is common courtesy for the chair to take a less active role than other members of the body in debates and discussions. This does *not* mean that the chair should not participate in the debate or discussion. On the contrary, as a member of the body, the chair has full rights to participate in debates, discussions and decision-making. The chair should, however, strive to be the last to speak at the discussion and debate stage, and should not make or second a motion unless he or she is convinced that no other member of the body will do so.

The Basic Format for an Agenda Item Discussion

Formal meetings normally have a written, published agenda; informal meetings may have only an oral or understood agenda. In either case, the meeting is governed by the agenda and the agenda constitutes the body's agreed-upon road map for the meeting. And each agenda item can be handled by the chair in the following basic format.

First, the chair should clearly announce the agenda item number and should clearly state what the subject is. The chair should then announce the format that will be followed.

Second, following that agenda format, the chair should invite the appropriate people to report on the item, including any recommendation they might have. The appropriate person may be the chair, a member of the governing body,

There are exceptions to the general rule of free and open debate on motions. The exceptions all apply when there is a desire to move on.

a staff person, or a committee chair charged with providing information about the agenda item.

Third, the chair should ask members of the body if they have any technical questions for clarification. At this point, members of the governing body may ask clarifying questions to the people who reported on the item, and they should be given time to respond.

Fourth, the chair should invite public comments or, if appropriate at a formal meeting, open the meeting to public input. If numerous members of the public indicate a desire to speak to the subject, the chair may limit the time of each public speaker. At the conclusion of the public comments, the chair should announce that public input has concluded (or that the public hearing, as the case may be, is closed).

Fifth, the chair should invite a motion from the governing body members. The chair should announce the name of the member who makes the motion.

Sixth, the chair should determine if any member of the body wishes to second the motion. The chair should announce the name of the member who seconds the motion. It is normally good practice for a motion to require a second before proceeding with it, to ensure that it is not just one member of the body who is interested in a particular approach. However, a second is not an absolute requirement, and the chair can proceed with consideration and a vote on the motion even when there is no second. This is a matter left to the discretion of the chair.

Seventh, if the motion is made and seconded, the chair should make sure everyone understands the motion. This is done in one of three ways:

1. The chair can ask the maker of the motion to repeat it;
2. The chair can repeat the motion; or
3. The chair can ask the secretary or the clerk of the body to repeat the motion.

Eighth, the chair should now invite discussion of the motion by the members of the governing body. If there is no desired discussion or the discussion has ended, the chair should announce that the body will vote on the motion. If there has been no discussion or a very brief discussion, the vote should proceed immediately, and there is no need to repeat the motion. If there has been substantial discussion, it is normally best to make sure everyone understands the motion by repeating it.

Debate on policy is healthy; debate on personalities is not. The chair has the right to cut off discussion that is too personal, too loud or too crude.

Ninth, the chair takes a vote. Simply asking for the "ayes" and then the "nays" is normally sufficient. If members of the body do not vote, then they "abstain." Unless the rules of the body provide otherwise or unless a super-majority is required (as delineated later in these rules), a simple majority determines whether the motion passes or is defeated.

Tenth, the chair should announce the result of the vote and should announce what action (if any) the body has taken. In announcing the result, the chair should indicate the names of the members, if any, who voted in the minority on the motion. This announcement might take the following form: "The motion passes by a vote of 3-2, with Smith and Jones dissenting. We have passed the motion requiring 10 days' notice for all future meetings of this governing body."

Motions in General

Motions are the vehicles for decision-making. It is usually best to have a motion before the governing body prior to discussing an agenda item, to help everyone focus on the motion before them.

Motions are made in a simple two-step process. First, the chair recognizes the member. Second, the member makes a motion by preceding the member's desired approach with the words: "I move ..." A typical motion might be: "I move that we give 10 days' notice in the future for all our meetings."

The chair usually initiates the motion by:

1. Inviting the members to make a motion: "A motion at this time would be in order."
2. Suggesting a motion to the members: "A motion would be in order that we give 10-days' notice in the future for all our meetings."
3. Making the motion.

As noted, the chair has every right as a member of the body to make a motion, but normally should do so only if he or she wishes a motion to be made but no other member seems willing to do so.

The Three Basic Motions

Three motions are the most common:

1. **The basic motion.** The basic motion is the one that puts forward a decision for consideration. A basic motion might be: "I move that we create a five-member committee to plan and put on our annual fundraiser."
2. **The motion to amend.** If a member wants to change a basic motion that is under discussion, he or she would move to amend it. A motion to amend might be: "I move that we amend the motion to have a 10-member committee." A motion to amend takes the basic motion that is before the body and seeks to change it in some way.

3. **The substitute motion.** If a member wants to completely do away with the basic motion under discussion and put a new motion before the governing body, he or she would "move a substitute motion." A substitute motion might be: "I move a substitute motion that we cancel the annual fundraiser this year."

Motions to amend and substitute motions are often confused. But they are quite different, and so is their effect, if passed.

A motion to amend seeks to retain the basic motion on the floor, but to modify it in some way.

A substitute motion seeks to throw out the basic motion on the floor and substitute a new and different motion for it.

The decision as to whether a motion is really a motion to amend or a substitute motion is left to the chair. So that if a member makes what that member calls a motion to amend, but the chair determines it is really a substitute motion, the chair's designation governs.

When Multiple Motions Are Before The Governing Body

Up to three motions may be on the floor simultaneously. The chair may reject a fourth motion until the three that are on the floor have been resolved.

When two or three motions are on the floor (after motions and seconds) at the same time, the *first* vote should be on the *last* motion made. So, for example, assume the first motion is a basic "motion to have a five-member committee to plan and put on our annual fundraiser." During the discussion of this motion, a member might make a second motion to "amend the main motion to have a 10-member committee, not a five-member committee, to plan and put on our annual fundraiser." And perhaps, during that discussion, a member makes yet a third motion as a "substitute motion that we not have an annual fundraiser this year." The proper procedure would be as follows.

First, the chair would deal with the *third* (the last) motion on the floor, the substitute motion. After discussion and debate, a vote would be taken first on the third motion. If the substitute motion *passes*, it would be a substitute for the basic motion and would eliminate it. The first motion would be moot, as would the second motion (which sought to amend the first motion), and the action on the agenda item would be complete. No vote would be taken on the first or second motions. On the other hand, if the substitute motion (the third motion) *failed*, the chair would proceed to consideration of the second (now the last) motion on the floor, the motion to amend.

If the substitute motion failed, the chair would then deal with the second (now the last) motion on the floor, the motion to amend. The discussion and debate would focus strictly on the amendment (should the committee be five or 10 members). If the motion to amend *passed*, the chair would now move to consider the main motion (the first motion) as *amended*. If the motion to amend failed, the chair would now move to consider the main motion (the first motion) in its original format, not amended.

To Debate or Not to Debate

The basic rule of motions is that they are subject to discussion and debate. Accordingly, basic motions, motions to amend, and substitute motions are all eligible, each in their turn, for full discussion before and by the body. The debate can continue as long as members of the body wish to discuss an item, subject to the decision of the chair that it is time to move on and take action.

There are exceptions to the general rule of free and open debate on motions. The exceptions all apply when there is a desire of the body to move on. The following motions are *not* debatable (that is, when the following motions are made and seconded, the chair must immediately call for a vote of the body without debate on the motion):

A motion to adjourn. This motion, if passed, requires the body to immediately adjourn to its next regularly scheduled meeting. This motion requires a simple majority vote.

A motion to recess. This motion, if passed, requires the body to immediately take a recess. Normally, the chair determines the length of the recess, which may range from a few minutes to an hour. It requires a simple majority vote.

The challenge for anyone chairing a public meeting is to accommodate public input in a timely and time-sensitive way, while maintaining steady progress through the agenda items.

Third, the chair would now deal with the first motion that was placed on the floor. The original motion would either be in its original format (five-member committee) or, if amended, would be in its amended format (10-member committee). And the question on the floor for discussion and decision would be whether a committee should plan and put on the annual fundraiser.

A motion to fix the time to adjourn. This motion, if passed, requires the body to adjourn the meeting at the specific time set in the motion. For example, the motion might be: "I move we adjourn this meeting at midnight." It requires a simple majority vote.

A motion to table. This motion, if passed, requires discussion of the agenda item to be halted and the agenda item to

be placed on "hold." The motion may contain a specific time in which the item can come back to the body: "I move we table this item until our regular meeting in October." Or the motion may contain no specific time for the return of the item, in which case a motion to take the item off the table and bring it back to the body will have to be taken at a future meeting. A motion to table an item (or to bring it back to the body) requires a simple majority vote.

A motion to limit debate. The most common form of this motion is to say: "I move the previous question" or "I move the question" or "I call for the question." When a member of the body makes such a motion, the member is really saying: "I've had enough debate. Let's get on with the vote." When such a motion is made, the chair should ask for a second to the motion, stop debate, and vote on the motion to limit debate. The motion to limit debate requires a two-thirds vote of the body. Note that a motion to limit debate could include a time limit. For example: "I move we limit debate on this agenda item to 15 minutes." Even in this format, the motion to limit debate requires a two-thirds vote of the body. A similar motion is a *motion to object to consideration of an item.* This motion is not debatable, and if passed, precludes the body from even considering an item on the agenda. It also requires a two-thirds vote.

Majority and Super-Majority Votes

In a democracy, decisions are made with a simple majority vote. A tie vote means the motion fails. So in a seven-member body, a vote of 4-3 passes the motion. A vote of 3-3 with one abstention means the motion fails. If one member is absent and the vote is 3-3, the motion still fails.

All motions require a simple majority, but there are a few exceptions. The exceptions occur when the body is taking an action that effectively cuts off the ability of a minority of the body to take an action or discuss an item. These extraordinary motions require a two-thirds majority (a super-majority) to pass:

Motion to limit debate. Whether a member says, "I move the previous question," "I move the question," "I call for the question" or "I move to limit debate," it all amounts to an attempt to cut off the ability of the minority to discuss an item, and it requires a two-thirds vote to pass.

Motion to close nominations. When choosing officers of the body, such as the chair, nominations are in order either from a nominating committee or from the floor of the body. A motion to close nominations effectively cuts off the right of the minority to nominate officers, and it requires a two-thirds vote to pass.

If you are running the British Parliament, *Robert's Rules of Order* is a dandy and quite useful handbook.

Motion to object to the consideration of a question. Normally, such a motion is unnecessary, because the objectionable item can be tabled or defeated straight up. However, when members of a body do not even want an item on the agenda to be considered, then such a motion is in order. It is not debatable, and it requires a two-thirds vote to pass.

Motion to suspend the rules. This motion is debatable, but requires a two-thirds vote to pass. If the body has its own rules of order, conduct or procedure, this motion allows the body to suspend the rules for a particular purpose. For example, the body (a private club) might have a rule prohibiting the attendance at meetings by non-club members. A motion to suspend the rules would be in order to allow a non-club member to attend a meeting of the club on a particular date or on a particular agenda item.

The Motion to Reconsider

There is a special and unique motion that requires a bit of explanation all by itself: the motion to reconsider. A tenet of parliamentary procedure is finality. After vigorous discussion, debate and a vote, there must be some closure to the issue. And so, after a vote is taken, the matter is deemed closed, subject only to reopening if a proper motion to reconsider is made.

A motion to reconsider requires a majority vote to pass, but there are two special rules that apply only to the motion to reconsider.

First is the matter of timing. A motion to reconsider must be made at the meeting where the item was first voted upon or at the very next meeting of the body. A motion to reconsider made at a later time is untimely. (The body, however, can always vote to suspend the rules and, by a two-thirds majority, allow a motion to reconsider to be made at another time.)

Second, a motion to reconsider may be made only by certain members of the body. Accordingly, a motion to reconsider may be made only by a member who voted *in the majority* on the original motion. If such a member has a change of heart, he or she may make the motion to reconsider (any other member of the body may second the motion). If a member who voted *in the minority* seeks to make the motion to reconsider, it must be ruled out of order. The purpose of this rule is finality. If a member of the minority could make a motion to reconsider, then the item could be brought back to the body again and again, which would defeat the purpose of finality.

If the motion to reconsider passes, then the original matter is back before the body, and a new original motion is in order. The matter may be discussed and debated as if it were on the floor for the first time.

Courtesy and Decorum

The rules of order are meant to create an atmosphere where the members of the body and the members of the public can attend to business efficiently, fairly and with full participation. And at the same time, it is up to the chair and the members of the body to maintain common courtesy and decorum. Unless the setting is very informal, it is always best for only one person at a time to have the floor, and it is always best for every speaker to be first recognized by the chair before proceeding to speak.

It is usually best to have a motion before the governing body prior to discussing an agenda item, to help everyone focus.

The chair should always ensure that debate and discussion of an agenda item focus on the item and the policy in question, not on the personalities of the members of the body. Debate on policy is healthy; debate on personalities is not. The chair has the right to cut off discussion that is too personal, too loud or too crude.

Debate and discussion should be focused, but free and open. In the interest of time, the chair may, however, limit the time allotted to speakers, including members of the body. Can a member of the body interrupt the speaker? The general rule is no. There are, however, exceptions. A speaker may be interrupted for the following reasons:

Privilege. The proper interruption would be: "Point of privilege." The chair would then ask the interrupter to "state your point." Appropriate points of privilege relate to anything that would interfere with the normal comfort of the meeting. For example, the room may be too hot or too cold, or a blowing fan might interfere with a person's ability to hear.

Order. The proper interruption would be: "Point of order." Again, the chair would ask the interrupter to "state your point." Appropriate points of order relate to anything that would not be considered appropriate conduct of the meeting; for example, if the chair moved on to a vote on a motion that permits debate without allowing that discussion or debate.

Motions to amend and substitute motions are often confused. But they are quite different, and so is their effect, if passed.

Appeal. If the chair makes a ruling that a member of the body disagrees with, that member may appeal the ruling of the chair. If the motion is seconded and after debate, if it passes by a simple majority vote, then the ruling of the chair is deemed reversed.

Call for orders of the day. This is simply another way of saying, "Let's return to the agenda." If a member believes that the body has drifted from the agreed-upon agenda, such a call may be made. It does not require a vote, and when the chair discovers that the agenda has not been followed, the chair simply reminds the body to return to the agenda item properly before them. If the chair fails to do so, the chair's determination may be appealed.

Withdraw a motion. During debate and discussion of a motion, the maker of the motion on the floor, at any time, may interrupt a speaker to withdraw his or her motion from the floor. The motion is immediately deemed withdrawn, although the chair may ask the person who seconded the motion if he or she wishes to make the motion, and any other member may make the motion if properly recognized.

Special Notes About Public Input

The rules outlined here help make meetings very public-friendly. But in addition, and particularly for the chair, it is wise to remember three special rules that apply to each agenda item:

Rule One: Tell the public what the body will be doing.

Rule Two: Keep the public informed while the body is doing it.

Rule Three: When the body has acted, tell the public what the body did.

Public input is essential to a healthy democracy, and community participation in public meetings is an important element of that input. The challenge for anyone chairing a public meeting is to accommodate public input in a timely and time-sensitive way, while maintaining steady progress through the agenda items. The rules presented here for conducting a meeting are offered as tools for effective leadership and as a means of developing sound public policy. ■

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Understanding Your City's Departments

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Introduction

Elected officials interact with all city departments and are responsible for making decisions that affect each of these departments. While it may not be necessary to have a detailed understanding of the functions and roles of your city's departments, a basic understanding of these functions in order to make more informed decisions is helpful.

The purpose of this section is to provide information about each city department by describing their basic responsibilities, primary functions and relationship with the council. Each article in this section will provide an introduction to the department. For a more comprehensive guide, please consult the reference pages at the end of this section for further reading.

The City Manager

Most California cities maintain the council-manager form of government, with a city council elected by the people and charged with the basic responsibility of governing the community. Generally, a city manager is appointed by the council to manage the city's administrative responsibilities and day-to-day operations. In becoming an elected official in a city, it should be helpful to review the roles of city officials and examine the nature of their relationship to the city manager.

Primary Functions of the City Manager

The city manager has two distinct, if overlapping, roles:

1) To provide direct staff assistance to the council as a whole and to its individual members.

2) To manage the city organization in the delivery of public services.

The elected official normally works on two kinds of matters -- daily constituent needs or specific complaints, and the longer-range issues of public policy, such as what services should be provided by the city government, at what level those services should be provided, and what direction the community should take in its future development. In order to deal effectively with either type of problem, the elected official requires staff assistance.

In a real sense, the entire city organization serves as staff to the elected officials, and the city manager, together with other members of the management team, see to it that the necessary assistance is provided. Perhaps the most common problem experienced is the constituent service problem, i.e., when a citizen contacts a council member with a complaint about city service. The council member then asks the manager (or an assigned staff assistant in a larger city) to investigate, or resolve the matter, with or without a report back to the council member.

On another level, the council relies on the manager and its staff for assistance in policy formulation. City staff can provide information the council needs to make a decision, staff can provide a recommendation of the best approach to take on a policy matter, or staff can provide assistance to the council in sorting out specific issues and aid in developing policy alternatives.

Individual members of the council should not expect the city manager to implement their ideas unless a majority of the council gives such direction. The city manager's role is to carry out council policy as established on a given issue by a majority of its members. A council member who is in the minority on some issue should endeavor to change his/her colleague's position rather than expecting the city manager to martial the organization's resources in support of a policy decision that differs from the direction set by the council majority.

Regardless of the issue area, the city manager as a generalist assists the council in working with staff to facilitate the council's decision-making role. If the council is concerned with a land-use planning issue, the manager works with the city's planning staff to provide information and/or alternatives for the council; if the council is concerned about the level of police service, the manager works with the city's police services staff to do the same, and so forth. The city manager is directly responsible for the quality of all staff assistance provided to the council.

In addition to his or her role in providing direct staff assistance to the city council, the city manager is responsible for executing council policies. As the chief executive officer of the city, the manager must see to it that the services and programs the council has decided upon are effectively delivered. In this role, the manager supervises the work of the city's management team to make certain that the systems and procedures employed in the delivery of services are the most effective possible in relation to program objectives, and to make equally sure that the people within the city organization are working together as a team.

It is extremely important that the manager be well-qualified technically; know how to deliver city services in an efficient manner; know when the procedures in use could be strengthened or improved upon; and to suggest techniques or approaches which can work to achieve the objectives set by the council. But it is of at least equal importance that the manager knows how to get the most out of the people in the city organization; how to assist them in working well together; and how to realize the best performance of which each is capable.

A word about the city manager as a professional is useful at this point. The professional city manager has one basic commodity to sell, aside from technical knowledge about city service delivery systems and the management of people in organizations: integrity. The good manager must have the ability and, on occasion, the guts to present what he or she feels is best for the community even when this view may not be popular. His or her ability to always be thorough and forthcoming in providing information and alternatives to the council is the essence of professionalism. In group processes particularly, trust is vital to effectiveness.

Relations Between the City Council and the City's Management Staff

The determining factor in assessing any relationship between people is the quality of communication between them. The perceptions and expectations that each person has of the other and of their relationship form the basis of the relationship. The completeness of communication (the transmission of information) is dependent upon this foundation, which underlies all human relations in any organization. It is equally applicable to relations between members of the management team, members of the city council, and between the city council and appointed staff. Each participant in the city organization, elected or appointed, must work at appreciating the many sets of relationships which exist and which must be accommodated in the process of setting and effecting city policy.
In a well-functioning city government, the city council and the city staff will demonstrate a genuine respect for each other and each other's roles. This does not necessarily mean

that everyone will agree. Rather, there is agreement about how to disagree. Public statements expressing lack of trust or personalized attacks reduces everyone's image, and creates a climate of protecting one's self and defensiveness. Council member concerns (individual or as a council) about the performance or integrity of staff appointed by the city manager can be very helpful to the city manager, if offered privately. None of the above is to suggest that public expression about the city manager or staff performance is always out of place, but that the time and place should be subject to the standards the city council sets for itself and done in a manner which minimizes personal attacks and maximizes getting the job done.

The relationship between the mayor and city manager is slightly different because of the unique role of that position. The mayor is the chief elected official of the city, whether directly elected as mayor or elected by a vote of the council. In this role, the mayor is responsible to provide policy leadership to the council, and to represent the council in public meetings. But the mayor should also be able to represent the council to the city manager in the day-to-day carrying out of the city's business. The mayor should facilitate the relationship between the management staff and the council by being a source of advice and counsel to which the manager can rely. To fulfill this role effectively the mayor must be able to fairly represent the view of the whole council, and the council must respect the mayor's role as its representative. A good working relationship between the mayor and the city manager is therefore essential.

Two important factors to consider in council and manager relations are the responsibilities the council has towards the city manager:

- Providing direction to the city staff
- Evaluating the performance of the city manager

Providing Direction to the City Staff

The city council's ability to govern and make progress is very closely related to the council's ability to provide direction to the city manager and staff. Only when individual council member desires are "elevated" to a policy or program supported by all or at least a majority of the city council can one's own agenda be realized.

Unfortunately, there are many forces at work making unity and a team approach difficult for a city council to achieve. This can be especially true in district cities in which individual council members view their district as a first priority. Consequently, many city councils have found it invaluable to occasionally come together in a facilitated team-building or goal setting workshop or to attend, as a group, similar sessions offered through Cal Cities. In any event, a city council-directed goals process resulting in a council-adopted goals statement can be very helpful in clarifying its priorities to the staff and community as a whole.

Evaluating the Performance of the City Manager

Performance evaluations are communication devices. Without performance appraisals, something is lost in the communication process, and a loss in this area can ill be afforded by any of the participants in local government. Since the city manager has the greatest influence in carrying out council policies, one of the most important jobs a mayor or council member has is to provide clear direction and carefully monitor the manager's progress, giving praise or corrective measures as needed.

Performance appraisals are always a two-step process. First, the participants must discuss the expectations that exist against which performance will be measured. What are the standards, what are the principal values, and what are the objectives to be pursued? It is only after the council has determined with the city manager (or attorney, or clerk) the factors which will be assessed that the appointed official is in a position to really know what is most important to the council; and it is only then that the council is in a position to effectively evaluate performance, the second step in the process. An increasing number of city manager employment agreements make specific reference to a periodic evaluation of the city manager.

A good working relationship at the top of the city organization is clearly important. To realize this, the participants must begin with a good understanding of the roles and responsibilities of each other, and then must work at the job of communicating in order to keep it. Some cities have found it very helpful to hold or participate in workshops designed to develop more effective working relations among council members and between the council and staff.

When a functional understanding of each person's interests exists, and there is an atmosphere of trust and support, although not necessarily agreement, then conflict can be addressed in a mature way and reason can be the order of the day. Then locally elected leaders can more effectively serve the public interest and win the public's respect; this will make your difficult job a little easier and probably more fun.

The City Attorney

The city attorney is a valuable resource to a mayor and city council. In order to facilitate effective communication between the city council and the city attorney, it is helpful to understand a city's options in obtaining legal services and what the city attorney's job entails.

This paper is designed to provide mayors and city council members with information to help facilitate a solid working relationship with their city attorney. The paper covers the primary functions of a city attorney, how a city may select a city attorney, the importance of communication, and a short discussion on the attorney-client relationship.

Effective communication between city officials and the city attorney is critical to the smooth operation of the city. Early and frequent communication about proposed city actions can save cities headaches and money in the long run.

Primary Functions of the City Attorney

The city attorney has several functions, which can be categorized as follows and will be explained in further detail below:

- Serving as chief counsel to the city for both elected officials and staff
- Reviewing and drafting ordinances, resolutions, contracts, deeds, leases and other legal documents
- Representing the city in litigation as a defendant or a prosecutor.

Chief Counsel to the City/ Elected Officials and Staff

As chief counsel, the city attorney typically attends all city council meetings to provide on-the-spot counsel and to have firsthand information on immediate and contemplated city actions. An important aspect of this job is to render opinions on specific legal issues. These opinions can either be formal (in writing) or informal (oral advice). The city attorney also may serve as the council's parliamentarian.

One of the primary functions of the city attorney is to provide legal advice on whether the city has the authority to engage in a given activity. Cities, of course, share sovereign power with the state and federal governments. There are policy areas in which the state and federal government have reserved authority exclusively to themselves, thereby "preempting" local action on an issue. There are other instances in which the state or federal law has imposed specific obligations on a city if it wants to take action. In either event, the city attorney's advice can prevent costly legal missteps.

In order to render an informed opinion on important legal questions, the city attorney must sometimes analyze several sets of statutes and hundreds of reported cases. The sheer volume of law affecting cities has increased greatly during the last decade.

Further complicating the city attorney's job is the fact that the law is not always clear in a given area. When this occurs, the city attorney must give his or her best judgment on the probable and possible legal consequences of a proposed course of action. The city attorney cannot, however, make the law clear when it is not and would disservice the city by creating a false sense of security in the face of real risk.

Reviewing and Drafting Legal Documents

In addition to providing counsel to the city, the city attorney is also responsible for the drafting and/or review of important legal documents, such as ordinances or contracts.

Representing the City in Litigation

In addition to advising the city on the legal implications of its actions, the city attorney in 10 cities prosecutes state law violations. Almost all city attorneys prosecute violations of city ordinances.

Even when a city has in-house legal staff, it may find it necessary to contract out some work. There will be times when the city's legal needs require the services of a specialist. Also, the city's legal requirements will have peaks and valleys; it may not make sense to hire full-time, long term staff to cover the "peaks." Finally litigation can be very consuming of both attorney and support staff time and may therefore be contracted out in all or part.

Hiring a City Attorney

The voters elect a small number (eleven) of city attorneys in California. The remaining cities with appointed city attorneys obtain legal services in two basic ways. The city can hire one or more attorneys as full-time city staff (the "in-house" city attorney), or, the city may choose to hire a "contract" city attorney to provide legal services.

According to the League's records, about a fourth of California's cities have chosen to have full-time, in-house legal counsel. Numerous cities contract with attorneys in private practice who either represent several cities or represent other, non-municipal clients. Many smaller cities have chosen to receive legal services this way.

Communication Is a Two-Way Street

Effective communication requires a joint effort on the part of the city attorney and city officials to make sure the city attorney is kept informed of the city's activities. This means that council members must sometimes take the initiative in communicating concerns to the city attorney; similarly, the city attorney must communicate concerns to the council as well. It is particularly helpful for a city attorney to receive a “heads up” if the council member knows in advance that a legal question may arise at a public meeting. By alerting the city attorney to the issue beforehand, the city attorney will be prepared to answer any questions that may arise during the meeting.

The city attorney is paid to give good and timely advice. If the city attorney is unable to give good and timely advice because of poor communications either to or from the attorney, neither the city nor the taxpayers are getting their money's worth. Worse yet, the city may have to spend more money on litigation and adverse judgments -- money which could be better spent on other public programs.

A Note About the Attorney-Client Relationship

A client's communications with his or her attorney are protected by the attorney-client privilege, which protects the confidentiality of those communications. Allowances are made for this fact in the Brown Act, which authorizes the council to meet in closed (non-public) session to discuss pending litigation against the city.

One frequently asked question is precisely "who" is the city attorney's client. The answer determines to whom the attorney-client privilege applies. Although there is some debate on the issue, the basic answer is the city attorney's client is the city as a whole, acting through the city manager and city council. The city council therefore holds the attorney-client privilege, which means the city attorney's communications with staff members and individual members of the council cannot be kept confidential from the full city council.

From time to time a city official may wonder about the advice being given by the city attorney. It is tempting, of course, to seek a second or even third opinion. While such opinions have their place, it is best to include the city attorney in evaluating any such option.

The city attorney is the individual the city has hired (or the voters have hired) to advise the city on legal matters. The city attorney is most familiar with the laws bearing on the city's action, particularly local ordinances, internal procedures and any charter provisions. If the city is sued over a given action, it is the city attorney who will be responsible, in all likelihood, for defending the city in court.

In recognition of the perils associated with usurping the city attorney's role in advising a city on its legal matters, and on the limitations on an outsider's ability to give competent advise without access to the 'whole story', it has been long-standing Cal Cities policy to forbid its staff from giving city officials legal advice on city matters.

City Clerks

Government Code Section 36501 sets forth the governing officers of the city, one of which is the City Clerk. The City Clerk is the local official for elections, local legislation, the Public Records Act, the Political Reform Act, the Maddy Act (public noticing of commission appointments), and the Brown Act. Before the City Council takes any action (and after they take action), the City Clerk, in conjunction with the City Attorney, ensures that actions are in compliance with all federal, state and local statutes and regulations. The City Clerk serves as a liaison between the public and the City Council, and the City Clerk's office is generally the first place residents call when seeking help from City Hall.

Considered one of the oldest government professions, the City Clerk is an officer in a municipal corporation performing a variety of complex professional and managerial duties including the execution of tasks prescribed by the Government and Election Codes. In both General Law and Charter Cities, the City Clerk may be directly elected by the voters or appointed by the City Council or City Manager. Depending on the organizational structure, the City Clerk's position may range from a division or department director, or may carry the title of Assistant City Manager.

Responsible for the overall policy development, planning, fiscal management, administration and operations of the City Clerk Department, the City Clerk's duties may include management of programs and services including elections, citywide records management, Fair Political Practices Commission mandated filings, preparation of City Council agendas, minutes, resolutions, and ordinances, recording actions of City Council meetings, the administrative aspects of contract execution (such as ensuring that bonds and insurance documents are submitted and valid), and handling public records research requests.

The scope of a City Clerk's responsibilities can vary significantly among municipalities. However, certain core responsibilities remain and can be categorized into legislative, elections, records management, or administrative functions.

Legislative responsibilities –

Each time the City Council takes action it is a legislative act whether it be by ordinance, resolution or minute action, the City Clerk must ensure that the action taken complies with federal, state, and local laws.

These legislative responsibilities include:

- Ensure compliance with the Brown Act (open meeting law)
- Ensure compliance with parliamentary procedures
- Coordinate, prepare, and distribute council agendas, minutes, actions, and records of the proceedings
- Coordinate, prepare, and direct posting, mailing, and publication of legally-required public hearing notices/publications (including City Council, committee, special

agency, and authority meetings)
- Certify and attest to actions taken – (i.e. confirming that the document is the true and correct copy approved and that those executing the document on behalf of the city have the proper authority to do so)
- Codify and maintain municipal code; manage regular updates
- Provide technical and administrative assistance to City Council, special agency and authority meetings

Election responsibilities

- Coordinate and conduct municipal elections including special elections, ballot measures, initiatives, referendums and recalls
- Serve as liaison to the County Recorder and Registrar of Voters.
- Serve as City's official filing officer for local campaigns; ensure compliance with Political Reform Act
- Manage receipt and processing of petitions relating to initiatives, recalls, and referendums, associated measures, analyses, arguments, and rebuttals
- Coordinate voter outreach campaigns and conduct voter registration

Records Management responsibilities

- Maintain records in compliance with Public Records Act
- Responds to requests for public records in compliance with the Public Records Act, in consultation with the City Attorney
- Administer comprehensive citywide records management program which may include document imaging
- Manage processing, indexing, and maintenance of official City documents and records (ordinances, resolutions, and legislative actions)
- Protect vital records
- Coordinate and facilitate research (internal and external)
- Records disaster management

Administrative responsibilities

- Oversee official bid openings, contract and insurance administration
- Process liability claims, summonses, and subpoenas
- Coordinate recruitment and selection processes for city committee, commission, and board members; ensure compliance with Maddy Act
- Administer and maintain oaths of office (public officials and employees)
- Plan, direct, organize, and coordinate activities of a municipal department, division, or major program
- Develop and implement goals and objectives, policies and procedures both citywide and departmentally, especially for City Clerks who are also department heads
- Provide leadership and direction with new program (and program changes) development and implementation
- Prepare and administer department budget

- Manage and supervise administrative, professional, technical, and support staff

In summary, the City Clerk is a vital link in the successful operation of the municipal corporation. The legislative responsibility charged to the City Clerk is critical to the decision-making process of the local legislative body. As the local Elections Official, the City Clerk remains neutral to ensure the integrity of the democratic process. The City Clerk's statutory responsibilities ensure the City's business is conducted in the best interest of the citizenry it serves. While the core responsibilities endure, the City Clerk's role continues to evolve while remaining responsive to the changing needs of the citizenry, elected officials, and technology.

The Finance Department

A city's finance department represents a unified, integrated financial center with responsibility for financial matters affecting all departments and activities of the city. Historically, this was not the case: rather the finance function was fragmented in several independent city directors, with responsibility for some activities retained by individual operating departments. The idea of centralizing the finance functions of auditor, treasurer, controller, purchasing agent, tax collector, etc., has won increasing favor and has allowed for more professionalism and accountability. You can, however, still find organizations that have various financial functions assigned to different departments.

Cities in California have broad authority to establish a finance department and assign appropriate functions. The financial duties assigned by the state statutes to the city clerk may be transferred to the director of finance at the discretion of the city council, and the duties of the city treasurer may be transferred from an elected treasurer to an appointed officer if approved by the electorate.

In recent years, many cities have expanded the role of the finance department to an administrative services function encompassing other general administrative functions. In those instances, often the position of accounting officer or controller exists for purposes of carrying out the duties found elsewhere under the direction of a finance director.

Primary Functions of the Finance Department

The basic duties of the finance department can be summarized as follows:

- Preparation of the city budget and other financial planning documents
- Maintenance of all financial records in conformity with generally accepted accounting principles and in compliance with state and federal laws and preparation of the Comprehensive Annual Financial Report (CAFR)
- Providing financial information to the city council, city manager and other city officials on a timely and meaningful basis
- Revenue collection, tax collection and purchasing

Preparation of the City Budget and Other Documents

The budget should be viewed as one of the principal documents by which city policies are carried out. In order for the budget to accurately reflect the desires and the priorities of the council and the community, there must be agreement -- prior to the development and adoption of a budget --on what service, and on what levels the city wants to and/or should provide. Then, based on those adopted policies and priorities, the council can give staff the basic guidance necessary to prepare the budget for council consideration.

In most cities, the finance department prepares the city budget under the direction of the city manager. The budget document ties together financial information and financial decisions. Together, they're a financial expression of the services your local government provides based on established priorities. Preparing the budget in the same department that maintains the accounting records increases accountability and accuracy.

An historical document, the budget reflects services your government has provided for many years. As a planning document, it sets spending and service priorities for the coming year and in some cases two years. The budget is usually considered to be the city's single most important policy execution document. After it is adopted, it becomes law; however it is subject to amendment if conditions or priorities change. Changes in the budget may be executed by either the governing body or as designated by the governing body. Revenue and expenditure estimates in the budget are a yardstick against which actual revenues and expenditures are measured. Estimated beginning and ending fund balances, reflecting the results of the revenue and expenditure estimates are also an important element of the budget. The budget becomes the city's strategic plan for the future, both for operation and maintenance and capital improvements.

The finance director must be an integral participant in budget preparation and control. The depth of involvement and responsibilities will vary from city to city. At the very least, the finance director will be responsible for furnishing previous expenditure records, revenue projections, and fund balance estimates. It should further be the director's responsibility to constantly review budget procedures and make any needed improvements. The finance department should issue regular financial statements during the course of the budget year so city officials can monitor budget implementation and compliance. The finance director typically prepares a midyear report to the council regarding the status of city finances. The midyear report takes on increasing importance if the entity is operating on a multiyear budget program. It is also especially critical when the economy is not as strong as normal.

The finance director must constantly review and study current revenue policies and trends. The director must be alert to recognize the need for new revenue or the necessity to adjust revenue estimates to meet changing conditions and to report the findings and recommendations to the appropriate authorities for their action. The finance director is responsible for the preparation and interpretation of financial data for short and long term plans and programs. The director should be prepared, when necessary, to accept the responsibility for determining the most appropriate method of borrowing funds and must insure that debt schedules are met, that surplus funds are properly invested, that reserves are maintained at appropriate levels, and that the fiscal credit of the municipality is maintained at the highest possible level.

There is an emerging trend to link the budget to performance and to organizational goals and objectives. Accountability is becoming understandably more important as competition and demands for resources increase.

The Government Finance Officers Association (GFOA) of the United States and Canada grants a certificate of achievement for excellence in budgeting to those cities that prepare

a budget in accordance with certain standards. The California Society of Municipal Finance Officers also offers a certificate program for budget documents that meet a certain standard. These certificates are generally included in the front of the budget document.

Maintenance of all Financial Records

The finance department is required to maintain certain financial records and to prepare financial reports. Although the statutory duties may vary in individual cases, there must be a complete set of accounting records for all functions and activities performed by the governmental unit, with responsibility for such records and accountability lodged with the finance director. These records must reflect compliance with legal requirements.

Providing Financial Information to the City Council, City Manager, and City Staff

The city's comprehensive annual financial report (CAFR) is the best resource for making sure the revenues, expenditures, bonds, and grants you've authorized during the budget process were collected and spent the way they were intended. It can also provide a basis for future decisions. The CAFR serves as a public document that tracks the performance of individual funds. Seek the assistance of the finance director when reading the report to insure that you are getting the clearest picture of the financial condition for your city.

Although financial reports can vary from city to city, there is a standard format and most city financial reports should contain the following:

- Asset, Liability and Fund Balance Information.

- Information on the basic expenditure and revenue categories you've authorized by law; financial reports comparing actual revenues and expenditures against estimates adopted in the budget.

- Information on revenues and expenditures organized into several different funds. This is because government dollars are often earmarked for one specific use and cannot be used for another. Most of the "bulk" in the CAFR occurs because statements are included for every fund. But the type of information included for each fund is essentially the same.

Financial statements cannot tell you everything about your city's financial condition. Much of the information can only suggest additional questions. For example, you probably won't be able to tell from your annual report whether local pension funds are adequately funded. In addition, your financial report is not the best source for determining the real cost of city programs and services (i.e., some previous year's expenses which have been promised but not paid yet may be included in current year totals).

Financial reports can also be misleading. Depending on whether revenues and expenses are recorded when they are anticipated and owed or when they are actually received and paid, the financial position of your municipality or of particular funds may look better or worse than is actually the case. Transfers between funds can also be complicated. So be careful about jumping to conclusions too quickly.

The Governmental Accounting Standards Board sets standards for financial reporting. GASB's Pronouncement 34 will significantly change the reporting model over the next few years with goal of making the report clearer and more useful. The Government Finance Officers Association (GFOA) of the United States and Canada grants a certificate of achievement for excellence in financial reporting to those cities that prepare a CAFR in accordance with these standards. The California Society of Municipal Finance Officer (CSMFO) also offers a certificate program for excellence in financial reporting. These certificates for the preceding year are generally included in the front of the CAFR.

If you find anything in your local government's financial report that causes concern, ASK. You may have spotted a problem. And if the report only LOOKS like you have a problem, you will be that much surer that your municipality is in good financial condition.

The traditional financial audit is an examination of the governmental unit's accounting records and underlying financial systems and internal control. The objective is to verify that all financial transactions have been properly handled and recorded in compliance with legal restrictions and generally accepted accounting principles so that the statements produced from the records accurately represent the public finances with which you have been entrusted.

Revenue Collection and Purchasing

The handling and accounting of cash and the investment of surplus funds is occasionally the responsibility of some officials other than the finance director. In many cities, however, the treasury function is included within the finance department. In other cities the city treasurer and city finance department are independent from each other. Regardless of whether the collection, custody and disbursement of municipal funds are the direct responsibility of the finance director or some other director, there should be no compromise in the centralization of responsibility and control.

The finance director should see that all city revenues are collected in a timely and orderly way. This function includes supervision of local tax collections, such as business license taxes; coordination with county, state and federal officers through whom local revenues flow; and the collection of fees for services and regulatory functions.

If enterprise activities such as water, wastewater, electricity, transit, etc., are the responsibility of the city, then the finance director must act as the chief financial officer for these activities as well. In addition to the responsibilities outlined above, billing, collections and rate setting may also be performed by the finance department.

Council and Finance Department Relations

The shock of current reality and the forecasts of "hard times ahead" have pushed financial issues, and finance personnel, from the wings to the center of the stage along side the city council and the city manager. With finances, rather than programs and services, now a principal worry of municipal policy makers, there is renewed interest in the concept of finance departments, an interest which had diminished during the long years of economic expansion and relatively constantly growing revenues.

With restrictions on the supply of financial resources, cities are coming to grips with the need to assess and control the demand for services. In the past, "free" or under-priced governmental services have induced over consumption and hampered an assessment of real need or demand. The proper price incentives and disincentives can help reduce the need for government services or regulations.

To support proper pricing decisions and to move toward financial sustainability, city councils will need to know the actual costs of city programs and activities. This will require the introduction of more sophisticated accounting systems that can identify all the costs of a given program, including direct and indirect costs.

The heightened need for precision in financial decisions will create a demand for more accurate forecasts of revenues and expenditures. It is expected that finance departments will be required to have a significantly increased commitment to these activities.

Since Proposition 13 has limited the use of general obligation bonds to finance capital improvements, and since redevelopment financing and other capital financing tools have been jeopardized, considerable creative energy will be required of city councils and their finance staffs to provide for the construction of needed capital projects.

City councils and other public policy officials are becoming more aware of the unintended effects of their financial decisions. In the future, you and your colleagues on the council will work with the finance department and city manager to identify the inadvertent incentives and disincentives which your finance policies have on private decisions such as whether to rent or buy a home, where to live, where to work, where to locate a commercial or industrial plant, how to commute, how to invest, etc. You will ask the finance department to provide information that will help answer the question: Do our fiscal policies support community goals?

The demand for more timely financial information, additional information resources and improved financial management systems will necessitate the use of the latest available technology in data processing. Even most small cities now have computerized financial systems.

The recent focus through Statewide initiatives (Proposition 1A on the November 2004 ballot) on local government finance has heightened the awareness and knowledge of the public about local finance issues. City officials should expect citizens, investors and

other governments to demand more and better information concerning the city's financial condition in the future.

Due to the need to address the important issues above, the staffs of city finance departments can be expected to grow, probably in absolute numbers and certainly in professionalism. This is likely to be in contrast to other city departments that probably will not grow in an era of controlled demand and limited resources.

The Fire Department[1]

In decades past, fire departments occupied themselves with attempting to save lives and protect property by utilizing their resources to suppress fires. During recent decades, the fire service began to understand the value of utilizing strategies to prevent fires before they occur.

Today, participants in the progressive and modern fire service have expanded their roles, mission, and resources to three additional areas:

- "All risk" hazard protection and mitigation
- Provision of emergency medical services
- Establishing community based fire protection strategies

The "all risk" strategy is particularly significant in California where our citizens live with the constant threat of earthquakes, floods, terrorist attacks, tornadoes, major hazardous materials releases, environmental disasters and nuclear accidents. Implementation of this strategy has necessitated that the fire service concentrate its efforts to institute readiness strategies for disaster preparedness.

Providing emergency medical services (EMS) is now the most significant way that today's fire departments expend their time, energy, and resources. Two thirds of all responses in cities involve providing service for those in need of medical attention. Firefighters devote extensive training hours in the areas of advanced first-aid, emergency medical technician (EMT), use of automatic defibrillators (EMT-D), and paramedic training (EMT-P). Firefighters save more lives by providing prompt, thorough, and efficient medical service than they do by rescuing residents from building fires.

Providing community based fire protection will occupy the fire service in the coming decade. Studies indicate that when citizens were asked whom they trust in the government, more than 75 percent responded that they trust the fire department. This concept attempts to utilize the community's high level of trust in the fire fighting profession, and attempts to make firefighters community ambassadors as a launch point for substantive community outreach programs. Some examples are using the fire department and fire stations to:

- To hold community events and community meetings
- To conduct health fairs and blood pressure screening
- To hold CPR, first aid, baby sitter safety classes
- As a safe haven for children who are victims of abuse and violent crimes
- To educate the community on topics such as smoke detectors, fire extinguishers, and home safety
- To hold neighborhood disaster preparedness programs to teach self-sufficiency to citizens in preparation for catastrophic events
- To assist elderly citizens with vision and hearing programs

[*] Written by Gerald A. Simon, Fire Chief, City of Santa Clara.

- To instruct the community on the dangers associated with security bars in their homes
- Collection sites for toys, food and supplies for community need programs
- For counseling, mentoring, and functioning as role models for the youth in the community

These are the strategies that fire departments will employ to enhance the service delivery into the next millennium and beyond.

Law and Authority

State law is silent concerning the authority of charter cities to provide fire protection. However, Section 38600 of the Government Code provides that the legislative body of a city may provide for fire protection and prevention, and Section 38611 of the Government Code makes it mandatory that a city organized under general law shall establish a fire department. The specific local authorization under which a fire department functions is established by the charter of the city council itself. In addition to local laws and ordinances, fire department operations also are affected by numerous types of federal and state intergovernmental regulations and mandates. It is common for fire departments to enter into agreements, such as mutual and automatic aid, and joint powers agreements. These agreements assist individual fire departments to provide the highest possible level of service to the citizens. Fire departments are strengthened tremendously by knowing that these agreements with their neighboring jurisdictions enhance service levels on a routine basis, and allow for a significant influx of needed resources during abnormal or catastrophic events. Mutual aid training is a great way to strengthen a disaster preparedness program and to develop "good neighbor" habits across jurisdictional boundaries.

Diverse Roles and Functions of the Fire Department

Many fire departments are organized into a structure which has practical application from an administrative and operational perspective. The modern fire service is highly structured with a well-defined chain of command. The use of the incident command system (ICS) and the advent of the standardized emergency management system (SEMS) have allowed fire departments to become proficient in structuring complicated tasks and managing incidents effectively.

Effective structuring has helped produce fire department organizations that are able to provide a number of diverse functions and roles. These include:

Fire Suppression	**Fire Prevention**
Reducing the hostile spread of fire	Public education
Inspections of local businesses	Code enforcement
Emergency medical response	Building plan review
Disaster preparedness (All-risk)	Fire cause determination
Calls for general service to citizens	Building safety inspections
Response to wildland/urban interface emergencies	Home inspections
	Weed abatement

Fire Training
Training to enhance emergency skills
Safety training and awareness
Injury prevention strategies
Physical fitness training
Technology implementation – computers and Computer-Aided-Dispatch systems
Regional training activities
Joint Fire Academies to train recruits

Volunteer Firefighters
Fire suppression services
Emergency medical training
Community service events

Administrative Support Services
Human resources
Budget analysis/preparation
City Attorney liaison
Clerical support services
Governmental relations
Duplicating and document preparation
Facilities maintenance
Apparatus maintenance

Emergency Medical Services
Training emergency medical responders
EMT, EMT-D, EMT-P training
Community CPR training
Baby sitter safety programs
Continuing education training
Mass casualty planning and training
Ambulance transportation

Hazardous Materials
Training hazardous materials responders
Public education and consultation
Emergency Response Team (ERT) industrial training
Environmental crimes and disasters
Use, handling, storage and disposal of hazardous materials
Air, water and underground protection.

Public Relations Unit
Media relations
School, church, community programs
Public broadcasting on our channels
Community training/public education
Disaster preparedness

Rescue Specialties
Confined space rescue
Urban search and rescue (USAR)
High angle rescue
Swift water rescue

Communication –911
Public Safety Answering Point (PSAP) calls to 911
Emergency medical dispatch
Priority dispatching and call triage

These activities represent some of the roles, functions and activities for today's fire service. Of course the degree to which they exist depend upon the size of the agency and resources available to fund these services and activities.

Fire Department Policy Development Items and Programs

The essence of the work that fire departments perform tends to be largely operational in nature and function. Since the operational nature is predominant, it is important that policy development occur at some level of the municipal structure. Policy development, in its most productive form, is a collaborative effort between the mayor and council members, the city manager and the fire chief. In that regard, there are a number of documents prepared by the fire chief and the city manager with which mayors and members of council may be involved. They include:

- Fire Department Mission Statement
- Operational Goals and Objectives Statements
- Standard Operating Procedures and Directives
- Department Budget
- Local Fire Prevention Codes Ordinances
- Mutual Aid Agreements
- Automatic Aid Agreements
- Fire Master Plan for Establishing or Maintaining Levels of Service
- Permit Streamlining Process
- Building Plan Applications
- Site Plan Applications
- Fire Sprinkler Applications
- Permits for Community Events
- Hazardous Materials Business Plans
- Hazardous Materials Law and Ordinances
- Weed Abatement Procedure
- Specifications for Fire Stations
- Bid Specifications for Apparatus and Equipment
- Memoranda of Understanding with Labor Groups
- Contracts processed through the agency attorney

As examples:

- The permit streamlining process is a collaborative effort between many different departments. In order to expedite the plan review and permits to serve our customers in private industry, the fire department must also interact with the planning, building, and electric departments and with the engineering division.

- To administer a non-point source program, the fire department may need to interact with the street department, the water department, a regional environmental agency, and the office of the city attorney.

- To implement efficient and effective disaster planning activities and administration of the Emergency Operations Center (EOC), fire departments must cooperate with the police department, public works, public information specialists, and all city department personnel involved in emergency operations strategies.

To optimize service delivery, it is crucial that an effective line of communication be developed between the mayor, city council, the city manager, and the fire chief.

Council and Fire Department Relations

Like all other municipal departments, the fire department is not an isolated organization within a city structure. What other departments do within a community dramatically affects the capability of the fire department to accomplish its purposes. Accordingly, the

fire department should have input into the policy making process to assure that other municipal operations don't adversely affect the fire service, and conversely, that the fire service does not adversely affect other municipal operations.

While the broad policies guiding the department are established by the council, specific operating policies are established by city management and fire department administration for the day-to-day functioning of the department. In this regard, care must be taken to be sure of the compatibility of all these policies.

The fire department budget, which is the principal operating plan developed under general council policies, can provide elected officials with considerable information regarding the services provided.

There are a variety of factors that elected officials can consider in monitoring the efficiency and effectiveness of the fire department. Some indicators of performance might include:

- *Fire loss statistics,* which affect insurance rates paid by the community.
- *Response time statistics,* which create the floor (base level) of service as compared to the ceiling (maximum level) of service to be provided.
- *Fire prevention inspection,* which assist in monitoring the success of hazard reduction in the community.
- *Disaster plans,* also known as multi-hazard functional risk plans which demonstrates the community's ability to meet the challenge of catastrophic risk.
- *Training statistics,* which illustrate how much skill training is given, and in what areas this training is focused.
- *Educational assessments* can illustrate the importance of advanced education and college training in upgrading the professionalism of the department.
- *Hazardous materials inventories,* which can assist in determining threat and/or risk of a significant hazardous materials release or environmental incident.
- *Injury statistics,* which can indicate the effectiveness of physical fitness as an established cultural value in the department.
- *Citizen complaint reports,* which can be an indicator of customer service as a cultural organizational value and citizen satisfaction with service delivery.

- *Community service activity report,* which can assist in identifying how involved the department is in providing "community based fire protection".

Other Factors

In order for elected officials to better understand the operations of their fire department, they must consider some of the factors and peculiarities that affect the ability of the department to deliver its service. Among these items are the various federal and state laws and agreements governing operations, the geographical area served by the department and its numerous characteristics, both natural and made by humans, the water distribution system serving the department, staffing levels, the degree of fire

prevention effort, the relationship between the fire department and other municipal departments, the relationship between the fire department and the community, the type and condition of equipment utilized by the department, and various safety and personnel factors bearing on the day-to-day operations of the department and the training and education of fire personnel.

In this age when all public services are coming under increasing scrutiny, elected officials must be alert to changes in public attitude, technology, new legal requirements, community needs and social trends in order to assure that municipal services are delivered effectively and efficiently. This is certainly true in the area of fire services.

Although the public may seem to favor funding public safety services (fire, police, and 911) while cutting back in other areas, fire departments will likely be faced with increasing fiscal pressures. This may come about because of demands for expanded services in the face of both decreasing and devaluing dollars; mandates by the federal or state government affecting fire services; pressures from labor groups; and new building or business presenting new or expanded hazards or service areas for fire departments.

Some items with which elected officials will be dealing in the future:

- Enactment of stricter fire prevention codes requiring the installation of automatic fire suppression equipment and fire detection devices
- Hazardous materials remediation plans to assure that there is less environmental impact caused by those who use, handle, store and dispose of hazardous materials
- Increased pressure from industry to respond to their need to perform services better, faster, cheaper
- Community demands to "re-invent" government to provide more and varied services but pay less taxes to cover the cost of the service

There are numerous arrangements fire department administration and elected officials may wish to consider in order to improve department service and efficiency. Among these items are:

- Review of joint power agreements, mutual aid agreements, and automatic aid agreements to assure that they are of maximum benefit to all concerned

- Review of emergency medical services to be sure they are being effectively provided by qualified personnel and that their costs are being adequately covered
- Ways to provide value added service to the community, such as "community based fire protection"
- Implementation of a streamlining process to review all building plans to improve the efficiency of the process for our industrial customers
- Review of the "all-risk" multi-hazard functional plan to assure disaster readiness
- Drill community-wide to practice and exercise disaster readiness
- Public education programs; with an emphasis on youth and the elderly
- Customer service programs for internal and external customers

- Review of response times to all areas served
- Review of department mission, goals, operational plans
- Adoption of a fire master plan to provide optimum prevention, suppression capabilities
- Review of state and federal legislation in the field of hazardous materials to assure local compliance and minimization of environmental risk
- Use of civilians in place of sworn personnel
- Consolidation of related services being provided

A review of the these elements with the city manager or the city administrator, and the fire chief or fire administrator on a regular basis will be of considerable assistance to you in assessing the value they hold in the community. This knowledge can be particularly important during periods of uncertain revenue streams, competition for shrinking federal and state dollars, recession, inflation, or unexpected downturns in local economies.

Many cities fund fire, police, and 911 services at high levels. During a period of financial hardship and economic downturn what would you, as a council, do to the budgets of each department throughout the city? Would fire, police, and 911 services take their fair share of budget cuts? The answer may lie in whether or not the fire department provides "value added services" to the community such as all risk mitigation, and emergency and community based fire protection—services that extend far beyond the traditional paradigm of saving life and property.

The Planning and Community Development Department[2]

A City's Planning or Community Development Department is typically responsible for the planning and building inspection functions. Many cities have reorganized to combine several functions under the title of Community Development. In most Cities this combination is simply Planning and Building, while in other cities it can encompass Planning, Building, Code Enforcement, Economic Development (Redevelopment) and even Public Works and/or Engineering are sometimes placed under the mantra of Community Development. The level or complexity of the combination depends largely on the size of the City and its staff work load. Again, the most common combination of functions is Planning and Building. These two city services are very interrelated.

The principal authority to carry out planning and building functions is based in an assortment of federal, state and local laws. Police power is the legal basis for all land use regulation. Various sections of the state Government Code contain most of the enabling authority to review and condition development including subdivisions of land.

The principal function of the Planning Department or Division is the administration of the General Plan review development or use applications.

- General Plan preparation and update
- Zoning Map and Ordinance preparation and update
- Enforce and implement the California Environmental Quality Act (CEQA)
- Conduct Planning related code enforcement
- Process development applications
- Provide public information
- Act as the staff liaison to both the Planning Commission and City Council

The primary functions of the Building Department or Division are issuance of building permits and conducting construction inspections.

- Issuance of Building permits and plan checks
- Performing building inspections and occupancy permits
- Conduct building related code enforcement
- Abating dangerous buildings
- Providing public information
- Act as staff liaison to the Board of Appeals and City Council

A variety of public agencies, as well as, homeowners and developers, regularly request information about land use, zoning, construction requirements, building permits, demographics and design and development standards. Dissemination of information is a central aspect of the department and a substantial percentage of time is devoted to responding to public information requests.

[2] Revised by Thomas Sullivan, AICP, Community Development Director, Saratoga

The General Plan

The General Plan is the most important planning document of the City. All other planning documents must be consistent with the General Plan. It is the document that provides the information about existing conditions and future desires. The General Plan consists of seven mandated elements: Land Use, Transportation, Housing, Open Space, Conservation Safety and Noise. There can also be any number of optional elements, for example: Community Design, Parks and Recreation, growth Management or Agriculture. The individual elements that make up the General Plan must be consistent with each other. Some Cities write the General Plan as a single document with chapters and other cities write their General Plans one element at a time. The Governor's Office of Planning and Research (OPR) provides guidelines for the preparation of all mandated elements except Housing. The State Department of Housing and Community Development (HCD) publishes those guidelines and reviews and certify the draft Housing Elements.

Zoning

Zoning is the most common implementation ordinance of the General Plan. The Zoning Ordinance is a set of rules that carry out the intent of the General Plan. It basically is the division of the city into different land use classifications and the application of different regulations in each. Each of the zoning classifications must be consistent with the General Plan. The Zoning Ordinance deals with issues from density, floor area ratios (FAR), lot size, length and width to the length of RV's you can or cannot park at your home. The regulations cannot be ambiguous. The public often thinks that zoning is land use planning, when it is only a small portion of what makes up land use planning.

Specific Plans

After a City has a General Plan adopted, the City Council can direct that a series of Specific Plans be prepared to provide for the systematic implementation of the General Plan. The Government Code provides some very detailed guidance about Specific Plans. While Cities can and do prepare these plans, often Cities require developers to prepare them. As the name infers, these plans are very specific. They provide design guidance for infrastructure and ultimate land use. They can even provide detailed architectural treatments.

Design Guidelines

Not all Cities have design guidelines. Some Cities have several designated areas where differing design requirements are set forth. Design guidelines are used to protect areas that have historical architectural themes. They are used to ensure developments follow a desired architectural design theme. Occasionally, Cities offer incentives to obtain the desired architectural look. Design guidelines are used to either protect existing quality design or to help create the quality desired.

Subdivisions

The primary purpose of the Subdivision Map Act is to encourage orderly community development, to ensure that areas within the development that are dedicated to the public will be properly improved by the subdivider, and to protect the public from fraud and exploitation. The Subdivision Map Act, working in conjunction with the City's Zoning Ordinance, guides and controls to a large part the development of the City. A minor subdivision or parcel map is a map that divides a single parcel into four or fewer lots. A major subdivision is a map that divides a parcel into five or more lots.

California Environmental Quality Act (CEQA)

The California Environmental Quality Act (CEQA) requires that both private and public projects be analyzed for their potential impacts to the environment. An Environmental Impact Report is an informational document intended to assist City officials in making decisions regarding a proposed project. Following the precise process laid out in the CEQA Guidelines is very important. While the EIR may be the heart of CEQA, most reviews end in the adoption of a Negative Declaration of Environmental Impact. In other words, the proposed project does not have any environmental impacts that are not known and cannot be mitigated through project redesign.

Code Enforcement

This is a necessary function for the Planning and Building Departments. Cities are authorized to prosecute violations in order to enforce building and/or zoning codes. Most cities prefer compliance to code requirements to the prosecution of property owners. In most cases, a discussion of the issues usually leads to compliance.

The Public Hearing Process

The Government Code sets out particular requirements to be followed in order to conduct a public hearing. It also provides guidance on what types of activities or applications require formal public hearing. Typically, if a public hearing is to be conducted, proper notice must be given. The public hearing notice must be given in at least two forms; advertised in a newspaper of general circulation and posting of the project site and/or a mailing of the public hearing notice to all property owners of record within 300 feet of the project site. Some cities also have three regular locations where postings are made.

Public hearings must be conducted to consider adopting or amending general plans, zoning ordinances, to consider granting use permits and for tentative tract map review.

The role of the Community Development Department

The Community Development Staff guides and advises the City Council, Planning Commission and other City Departments with regard to the physical development of the City. The Planning Staff provides the labor and expertise to maintain the City's General Plan, Zoning Map and Ordinance. The staff also provides for the day-to-day

implementation of the City's land use policies.

The Community Development Staff provides the liaison with the business community, simplifying permitting, working to streamline the development process and providing communications between the real estate profession, developers, merchants, property owners and residents.

The Police Department[3]

The police department has the primary responsibility of providing for the maintenance of social order within carefully prescribed ethical, legal, and constitutional restrictions. Its objective is the prevention of crime, detection and investigation of criminal conduct, and the apprehension of violators.

As a general matter, in the city council-city manager form of government, the chief of police is appointed and supervised by the city manager. This is used to establish a single executive officer to implement and administer the city council's policies. This varies, however, and some city councils appoint all department heads, including the chief of police. Under this form of government, the chief of police reports directly to the city council, however, many of the routine day-to-day police department issues are coordinated by the city administrator. In this way, more routine matters are handled by an administrator and the city council has a more direct relationship with the chief of police.

In a charter city the relationship of the police department to the council is determined by the charter.

Primary Functions of the Police Department

The police department's responsibilities can be grouped under the following general categories:

- The prevention of crime
- Apprehension of offenders and recovery of property
- Performing miscellaneous services

The Prevention of Crime

Crime prevention is a top priority for all city officials, and this task makes up a good portion of what city police departments do. In most instances, crime prevention comes in the form of patrol cars, but increasingly, police departments are utilizing prevention and outreach programs to target specific groups, such as youth.

For example, a recently emerging trend has been the establishment of counseling units within municipal police agencies designed to handle juvenile offenders. The rationale behind funding such units is to reduce recidivism at an early age, and thus reduce the future need for expensive police and criminal justice services. Other programs are aimed at educating youth about gang and drug activity to deter such behavior.

Emerging as a philosophy of policing are the concepts of Community Oriented Policing (COP) and Problem Oriented Policing (POP). Community Oriented Policing is a

[3] Revised by Richard M. Tefank, Chief of Police, Buena Park.

philosophy of a police department being accessible to the public and working together in a partnership to identify and implement crime prevention strategies. Problem Oriented Policing is the philosophy of utilizing the community to identify problems and then working in conjunction with the police department to develop strategies to eliminate or solve the issue confronting the community and quality of life.

Crime prevention is one of the more visible aspects of what police departments do. However, the success of such programs should not be the only indicator of department performance. Public perception and citizen satisfaction with other police services should also be considered.

Apprehension of Offenders and Recovery of Property

An essential component of the duties of a police department is the apprehension of offenders and recovery of property. Included in these functions are responses to calls, the investigation of crimes, and assistance to victims and witnesses and filing criminal cases to a prosecutorial agency. These tasks can be an indicator of the police department's performance, response time to calls, number of cases cleared by arrests, and number of criminal cases filed. These components can also be used to evaluate performance.

Performing Miscellaneous Services

Some additional, but typical police responsibilities include parking control, animal control, applicant fingerprinting, commercial and residential security inspections, delivery of city mail to council and commissions, public speaking programs, and school crossing guard responsibilities. In some cities public safety departments have been formed combining police and fire services in an effort to increase personnel utilization. Police departments are often called upon, in conjunction with other departments, to enforce such things as code violations. In addition, police departments prepare various reports and other materials which describe their functions and inform elected officials of their actions.

The police department has the responsibility of preparing a variety of documents. The most significant document, and by far the most important respect to a city council, that a police agency prepares is its own local budget. The budget contains the department's priorities for the coming year, and the division and allocation of resources to accomplish those objectives. Through council action the budget becomes the primary policy statement from the council to the agency.

California requires the submission of monthly reports tallying the reported significant crimes and successful clearances, amount of loss and recovered property by category, and a register of all arrestees by name, offense, and ultimate disposition of each individual by the reporting agency. There are other reports called for throughout the year relating to narcotics seized, length of duration of juvenile arrestees in local jails, and other miscellaneous reports for the California Department of Justice.

A police activity report to the council should be considered another significant document. Since there is no mandate for such a report, local variations occur as to form, content and frequency of issuance. Some departments may never issue such reports, or issue them only in response to a specific council request.

Most departments, however, issue reports on a monthly, quarterly or yearly basis. They may vary in form from informal written briefings to complex statistical analysis replete with minute charts and graphs pertaining to every function of the agency. The point that should be emphasized, however, is that this report should be understandable by, and a benefit to, the council, the community, and the administration of the department. If it is too complex or too detailed, they become nice fillers on bookshelves, but are of little benefit to the council for prioritizing the expenditure of department time and resources.

Council and Police Department Relations

A municipal police agency is only part of the overall service program of a city and should complement, support, and assist in the service delivery of the other city departments. It is not an independent, isolated, essential service with no interplay with the other city departments.

In the planning process, it has expertise in social impacts, environmental security, and traffic patterns and circulation. In its relationship to public works and engineering, it will have input on traffic engineering, signing and marking, and can assist in the causative factors of local traffic accidents. Officers on patrol will be able to report road deterioration, traffic obstructions, and general hazards with resultant liability exposure to the municipality. In the development of parks, the police department can assist in plan development with an eye towards eliminating vandalism, areas prone for criminal behavior, and instilling a sense of security in the park. In short, a police agency is an integral part of city government -- not apart from it. Representatives from the police department should be involved in all aspects of the planning process.

The internal policies and procedures of the department are determined by the police chief and need to be consistent with the law and policies of the city manager or city administrator and the council. Since the police function is primarily concerned with a broad range of order maintenance activities and with the provision of services to the community, these matters are clearly local concerns requiring responsiveness to the public and accountability to community priorities. Coordination of services, development of priorities, and maintenance of a balance between the services offered and the financial resources of the community require that the agencies delivering the services be responsible to the public. The determination of what services a police agency will provide, what priorities will exist, and what police responses will be sanctioned are proper decisions for the city council. A police department exists within a political arena, and a city council can be asked to answer to the electorate based on the actions of the police department. It is therefore, important that a police department understand its connection and relationship within this political arena.

Budget Issues

The police budget will contain the proposed goals and objectives of the agency for the coming fiscal year. Depending on the local budget format, each police budget will generally show the allocation of resources distributed among three major divisions: administration, patrol, and investigative services. The budget accounts will reflect requested expenditures necessary to accomplish the goals and objectives of the department.

With the tremendous amount of discretion entrusted to police, oftentimes the most cost-effective expenditure of public funds is allocated within the training account. Expenditure in technical courses, firearms, self-defense, and crisis intervention, not to mention supervision and management, contribute to greater public acceptance of the police and lessen the exposure of the municipality to civil liability. The police budget will also show the percentage of general funds allocated to public safety in comparison to the total city budget. Local jurisdictions will vary based on community need and public demand as to the percentage given to police services through the allocation of general fund revenues.

When allocating resources, evaluation of police productivity is too often measured in terms of arrests, case closure, and property recovery. These measurements are as suspect as the criteria on which they are based, namely uniform crime reports. Although these numbers should not be overlooked, more important criteria for evaluation can very well be community satisfaction which is the community perception as to the quality of delivered police services. Questionnaires and surveys can be designed and input solicited on a random basis if desired by a city council.

The elected official may be best able to evaluate the effectiveness of the police department by soliciting input from his/her respective constituency. The perception of the police by minority communities, by the business community, by the residents, and by other individuals involved in the criminal justice system is subjective at best, but in the long run might form the better basis for evaluation. For instance, just the presence of the "patrol" division on the streets may be perceived differently by different segments of the community; for some it may suggest security, and others may view it as hostile. In contrast, different statistical measurements may suggest varying degrees of "productivity" but these can be counter to the community's perception.

The department's ability to achieve its goals and objectives as stated in the budget, stability of its personnel, time lag in responding to calls for service, and effective written disseminated policies and procedures are additional objective criteria which can be used in forming an accurate evaluation of the agency. No evaluation should be based on one or two selective areas, but an accurate analysis of several critical areas will lend to an accurate overall evaluation of the agency.

One peculiarity typical of all police agencies which a city council must keep in mind is the need for higher total staffing -- in contrast to the number of persons on duty at any given time -- caused by operating on a seven-day week, twenty-four hour basis.

Typically, police departments must staff twenty-one shifts each week. Each officer works five shifts, and therefore it requires 4.2 officers to field one patrol car on a weekly basis. When vacation time, compensatory time off, sick leave, mandatory training, and court time are computed, the 4.2 figure approaches 5.2 officers to maintain one patrol vehicle in the field on a weekly basis. This formula applies to the five-day work week. Alternative work schedules include the "four-ten" plan, a work week consisting of four ten hour work days, and the "three-twelve" plan, a work week consisting of three twelve-hour shifts.

Overtime costs are often of great concern to a city council. Overtime on a day-to-day basis is unscheduled and although management exercises what controls it can, an officer cannot be relieved in the middle of a major criminal investigation or a serious traffic accident. Two-thirds of the patrol force generally work swing and midnight shifts, and are also required for court appearances during the day, which leads to increase overtime costs.

Limited resources along with rising insurance premiums, retirement, and employee benefits are creating fiscal dilemmas which the elected official must deal with while preserving the community's perception of proper security. Increased civil litigation arising out of police action is broadening the municipality's exposure to civil liability. Tax reducing initiatives are lowering the general fund revenues and it is primarily the general fund from which every department derives its funding source.

Budget constraints, however, provide an opportunity to improve service and efficiency in the future. Consolidation or centralization of records, warrants, and dispatching, together with the formation of multi-jurisdictional investigative units will become more commonplace. The actual consolidation of municipal police departments while still preserving local control should be considered and experimented with. The "civilianization" of support personnel and the increased use of civilians in performing routine calls for service will free up more sworn officers for criminal apprehensions.

The function and purpose of investigative units should be re-evaluated and critical decisions made in regard to their caseload, accountability, and solvability of cases assigned with the view that patrol can share more responsibility for criminal investigation. A reserve force can also be utilized, however, recent training requirements, and other state laws have discouraged the use of reserve officers.

Labor Issues

An issue facing local municipalities today is the actions of the rank and file police associations or unions. During difficult labor negotiations there may be a "job action," which may include work slow-downs, the "Blue Flu," or an inordinate decrease in traffic enforcement. Votes of no confidence in the police chief are common, and coupled with the police "job action," may cause community unrest and consume local officials' time to the detriment of all municipal services.

Public Awareness

An active public education program soliciting community support in crime prevention, instilling public awareness of the limitations of police authority, and re-evaluating or redirecting the public's expectation of having a police officer responding to every call for service should be attempted and supported.

Some cities are involving their residents more closely with the police department, either through a community police academy or a volunteer program. Besides helping to stretch the resources of a police department, these programs provide the public with a greater awareness of the role and responsibility of the police department.

The Public Works Department

The purpose of the public works function is to be the stewards of a city's infrastructure. Municipal infrastructure traditionally includes streets and highways, median island landscaping, flood control and storm water quality, public buildings, water supply, sewage treatment, street lights, transportation and traffic control, solid waste management and recycling, parks, open space, municipal utilities, street trees, airports and cemeteries. For all of these municipal services, the public works function is responsible for design, construction, operation and maintenance of municipal facilities.

Every city in the United States organizes their public works functions in different ways. The traditional approach is to have a Public Works Department that is responsible for all these services. Many cities have developed with special districts that handle some of the public works functions and thus these functions would not be under the purview of the City Council. Also, many cities assign various public works functions to other City departments.

A new council member is encouraged to review the City's table of organization to see what functions each of the City departments is responsible for. It can be embarrassing for a council member to ask a department head about a municipal service when that function is handled by another department, especially during a City Council meeting.

In many ways one can look at public works as providing the basic foundation on which cities and their subsequent functions are built. Public works is rarely noticed until something goes wrong or until major construction is underway. Excellent public works in a community can have a significant impact on property values and the quality of life that citizens enjoy.

The Development of a Capital Improvements Plan (CIP)

One of the most vital documents to implement a cities general plan is the capital improvement program (CIP). Most cities develop long-range (generally five years) capital improvement programs, which are updated annually. This document reflects the plans to construct certain public facilities in accordance with the goals and objectives of the city. The CIP should describe proposed facilities adequately so citizens understand what facilities are planned, what they will cost, and where the money will come from to finance them. .

Funding Sources

The most reliable sources of funds for public works come from gas tax revenues and local sales tax initiatives for transportation. These sources generally distribute funds based on formulas such as number of lane miles, number of licensed vehicles, or population. Other reliable sources are local enterprises, (such as water, sewer or refuse, etc.) or the local agency's general fund.

Policies guiding the construction, operation and maintenance of many public works facilities are frequently developed at the state and federal level and as such, weigh heavily on the policy direction of local agencies. Federal grant funds administered by the Federal Highway Administration or the Environmental Protection Agency for example are generally loaded with regulations governing their use. As a result, use of such funds can require a great deal of sophistication and time to administer. This, of course, results in increased administrative costs and delays, and as a consequence many smaller organizations with limited staff resources are unable to utilize these types of funds.

To a large extent, public works budgeting is controlled by the availability of state and federal funds. Categories and levels of funding, particularly for federal grants, fluctuate widely from year to year. For example, the decision to cut federal taxes could likely cause significant public works fund reductions necessitating changes in levels of service or increased use of local general funds.

State and local bond measures also fund public works budgets and are a frequent revenue source for major projects. When a public works facility benefits only a small portion of the community it is often financed by the developers of the property by "benefit assessments" levied against the owners of property in the neighborhood or by service charges and fees. These devices do not involve the use of general tax funds. These funding sources complicate public works budgeting and reduce the city's flexibility to prioritize its expenditures and to plan for the future. These factors must be considered in selecting and evaluating public works programs.

Performance Feedback and Measurement

One means of measuring any service is by evaluating citizen feedback. If the feedback is favorable, it is a good indication that the level of service is commensurate with the expectations of the community. However, a seemingly popular service may also be an extremely expensive service. If the public is aware of the expense involved and is willing to keep the level of service, this confidence is then reflected in the annual budget allocations.

It is extremely helpful if performance levels can be measured in terms of efficiency and quality. Departments must establish means to measure how well they are performing and meeting the mission, goals and objectives of the city council.

Continuous improvement evaluations of all operations are a common expectation within local communities. Comparisons with how services are provided elsewhere and in the public sector are useful tools. Sometimes contracting out to the private sector is the most successful way to provide a particular service, and sometimes we may simply need to get out of certain businesses or services that stray too far from our core mission or are simply unaffordable.

The most common measurement used by most public works departments is asset management, an assessment of the condition of the cities infrastructure. This assessment inventories the condition of cities capitol assets. The public works department can then determines what deferred maintenance may exist, calculates how much should be spent annually to eliminate it within specified periods of time as well as what should be spent on preventative maintenance to maximize the life expectancy of these assets. Eliminating deferred maintenance is the major public works issue at all levels of government. It is terribly important that policy makers understand what they should be spending to maintain and preserve what they have before they decide to spend available funds on new projects or services.

The Recreation, Parks and Community Services Department

Community Services is not a new municipal function. Community services refer to parks, recreation, libraries, arts and culture, museums and theaters, senior's leisure and human services. Village greens were found in most every New England town from early in our country's history. Central Park in New York City provided the first large scale city park in the United States when it was acquired in 1856 at a cost of $5,069,693 -- and not without some large scale political disagreement! Neighborhood park development began to become commonplace in American cities during the first decade of the twentieth century, and the birth of the American recreation movement occurred with the dumping of large heaps of sand in the yards of a chapel and a nursery in Boston in 1885.

In California, community services activities are authorized in state statutes differently for charter and general law cities. Charter cities are permitted to act subject to limitations in their charters unless overruled by state law on matters of statewide concern; general law cities are given permission by a wide variety of code statements to conduct activities such as parks, arts, recreation, etc.

Primary Functions of the Community Services Department

Municipal or local community services are offered in several forms in California. Although most cities provide community services through regular city departments, some communities are served by counties, some by special park and/or recreation districts, some by community service districts (CSDs) and some by combinations of the above.

In recent years, many difference organizational patterns have been developed to meet local conditions and local needs. The organizational title "parks and recreation" generally implies single department responsibility for both park maintenance and recreation programming. Some cities have chosen to separate the two functions, typically placing park maintenance responsibility with the public works department.

Cities vary widely in the arrangement of departments. Often, these activities are placed under the administration umbrella "community services," though each area generally retains its own identity. The common administrative denominator can assist in creating an atmosphere conducive to cooperation and shared resources, or they may be separate departments.

Community services departments have traditionally been asked to provide services which do not seem to fit neatly into other departments or disciplines. Often these changes in roles have been difficult to assimilate within the departments as well as within the city, but the departments have learned to become tremendously adaptive. It would seem logical to assume that changes in local government funding as well as in grant and other assistance programs will continue to mandate changes in organizational structure within the cities. However, the city government's commitment to community services department will continue to be recognized as a barometer of the "quality of life" in that community.

Several significant city documents are prepared by the community services departments, including department budgets, the recreation and arts elements to the general plan, park standards and plans, and community services program information material. Community services department staff members and commissions are also regularly called upon for input into general plans, zoning and redevelopment matters.

Often elected officials and city managers overlook the positive importance of the many public relations materials published by community services departments. This multitude of regular and special publications annually provides most of the written contact between many citizens and their city government that is not of the utility bill or statistical report variety. As shrinking financial resources demand better utilization of resources the community services publications to residents can also provide information of other important city activities and programs.

Council and Community Services Department Relations

Since community services departments have such varied responsibilities, each elected official must consider carefully the interrelation of department activities with other services provided by the city. Any discussion of police programs must necessarily consider youth recreation and arts activities. Considerations of community appearance and real estate property values must note the impact of street tree programs, public building maintenance and park design and maintenance.

Reviews of sales, amusement, or hotel/motel tax revenues naturally relate to community theaters, zoos, special community events, athletic contests, etc. No analysis of local employment should exclude the millions of dollars earned annually (much of it by young people) from work in local California community services departments -- additionally, much of the earnings are probably spent within the community. The economic impact of a downtown theater, for example, may have a multiplier effect of three times and sometimes much more. That intangible called "community spirit" is often highly influenced by community services departments' support of the multitude of community volunteer organizations and community special events found in every city.

Department Policies

City councils should insure that department policies are being set and implemented in a manner consistent with the desires of their community. Many cities use advisory commissions (parks and recreation, libraries, senior citizens, arts, human services, street trees, youth, etc.) to review and comment on important policy decisions prior to city council action.

- Does the city council wish to get involved in all fee setting or special interest group subsidy requests?

- Should the city follow the "co-sponsorship" plan which suggests not starting a city program if a local group can be stimulated to fill the need?

- Policy issue determination involving citizen participation invariably provides more satisfactory and comprehensive solutions to everyone involved.

City council members should insure that a clear understanding exists by all parties regarding which type of policy decisions should be made by the city council, the advisory commissions, the city manager's office, or the department.

Unfortunately, community services are not always easily quantified as are fires, burglaries, investments earned, building permits issued or miles of streets repaired. Some communities do invest time and money into community services planning, user surveys, and performance standard strategy. However, most community services departments do not have the resources to be thorough in evaluating their services nor in making elected officials and the public aware of their contributions.

Elected officials should set priorities for park maintenance and then provide the resources to ensure modern managerial and performance standards are used to measure results. Elected officials should demand that advisory commissions not be "rubber-stamped" and devote time and energy to reviewing programs, program quality and citizen concerns. Elected officials should ask whether or not demonstration and innovation are the exception or the rule in the community services department; and whether or not their city's parks and programs serve the needs of the users of the services offered.

There are numerous traits of successful community services departments which bear upon its ability to serve the public. Some include:

- **Innovation.** Are the community services departments flexible and open to change? Ten years ago, who envisioned roller blading or midnight basketball, senior day care, a technologically advanced library or public arts throughout the city? More important, who is thinking about the possible impacts of these items on the community services experience: an aging society, the homeless, child day care, surplus schools, the drug culture, gangs, strategic planning, growth management, an international recession, a sustained energy crisis, drastically reduced federal spending and year-round schooling?

- **Part-Time Help.** Community services departments are probably unique in the large number of part-time employees they hire. As mentioned above, most cities are probably a major employer of youth in their community. While this may give the personnel and finance department problems, it also gives the city a live and direct connection to its citizenry, in addition to being a tremendous augmentation to community services permanent staff. For many city residents the park maintenance helper, librarian or lifeguard may be the only living and breathing city representative they speak to throughout the year. Evaluation and training of these employees is the key to an effective service delivery of community services.

- **Volunteers.** Community services departments must utilize volunteers and special interest groups in ways that distress risk managers and other city officials but tap a great community resource. In 1987, volunteerism was determined to have grown in

cities by almost 50 percent over the previous five years, while full-time staff had grown only 10.3 percent during the same period. Such an approach gives city government another direct method of ensuring community involvement.

- **Sponsorships and Fundraising.** As general fund budgets become less available to community services departments, these agencies have become more dependent on funding through corporate and private sponsorships, grants and fundraising efforts. Increased staff time is being devoted to maximizing these resources, and it is not uncommon that special events, regular programs, brochures and publications, etc., include references to a sponsor.

The time for traditional responses to public service demands in this time of untraditional funding has ended. Elected officials are asking questions about some of the following concepts and practices:

- "Contracting-out" for services
- New capital outlays for equipment facility or redesign that will increase productivity and service levels while reducing energy consumption
- Voter-approved park maintenance fees
- Nonprofit foundations to augment programs (For example, Friends of the Libraries, Arts, Parks); paid advertisements in local publications
- More effective use of volunteers and community groups
- Partnerships and collaborations
- Higher fees and charges
- Scholarship programs for the poor and the handicapped who may be hurt the most by the higher fees and charges
- Use of parks and recreation departments to generate ancillary revenues that benefit department revenues while providing useful services to the community
- Enterprise funds in recreation to parallel water and sewer enterprise fund operations
- Conversion of parks and grounds areas to low-maintenance landscaping
- Department, division and program reorganization to reduce middle management
- Design of new parks that can be easily maintained
- Systems that facilitate professional management
- Involvement of community or neighborhood groups or the private sector in maintenance operations

Community services has proven itself to be one of life's necessities in a highly urban society with rapidly growing cities, quality of life issues becoming an important way to reach the public and create a sense of community. The public will continue to expect public officials to provide for quality services in the cultural arts, human services, leisure

services, library services and in park development and maintenance in spite of reduced resources to do so.

The Library Department[4]

Library functions usually fall under the Recreation, Parks, and Community Services Department. It is listed separately here for greater visibility. The purpose of the public library is to provide informational, educational, and recreational materials in a variety of formats to meet the needs of the community. These needs are as varied as the persons who use the library—young and old, poor and affluent, from the most practical needs to the most technical, from recreational to life influencing. Since the first "community library" was opened in Philadelphia in 1731, the public library has been the one source of information and assistance available to all citizens.

Primary Functions of the Library Department

In general, the library's functions can be placed into three broad categories:

- The source for information and materials of all kinds for residents—traditionally the public library has been regarded as a preserver of culture and democracy, a repository of information in many formats, and an extension of the formal educational system. These basic responsibilities are but part of the modern dynamic library program.
- The provision of public services—including the more traditional interlibrary loan and children's programs, as well as such more innovative services as literacy tutoring, computer and Internet access, and materials for those with special needs.
- The provision of information to City administration and management.

The Source for Information and Materials of All Kinds

In addition to books on almost every subject, the library's collections may include newspapers and magazines, audio and video cassettes, compact discs and DVDs, computer software, microforms, pamphlets, maps, pictures, toys, games, films, tools, and equipment for loan and for use on-site. An increasing number of information sources are available to the public at the library on computer databases and through the Internet.

Many local libraries collect and preserve historical documents, papers, photographs, and other memorabilia which are the only research resource for local historians. The public library is sometimes called upon to gather information or to obtain documents needed by other city departments. And the library, along with the city clerk's office, may act as the collector and retainer of city and regional governmental documents. In some communities, the public library is a source of cable television programming, and the library may house the cable TV studio. And in every library, the staff gives tours of the library and gives instruction on how to use the many resources available to customers of all ages.

The public library also serves the information needs of elected officials and city management. Do not hesitate to call upon them for books, magazine articles, management videos, and other resources needed to administer city government.

[4] Revised by Laura Mitchell, City Librarian, Escondido.

The Provision of Public Service

The public library is often called upon to provide information and materials that are not available within its facilities. To meet the more specialized needs of residents, the public library can borrow books and other materials through the interlibrary loan program from other libraries, including colleges, universities, hospitals, and private corporations. Most public libraries now belong to the new "Library of California", a consortium of libraries of all types with the purpose of facilitating the sharing of print and electronic resources throughout the state.

Many libraries offer programs for people of all ages, including classes on how to use the Internet. For young people, the library may give pre-school story hours, after-school entertainment, and motivational reading programs for elementary age children, and special interest clubs for preteens and teens. For adults, the library may offer great book discussion groups, travelogues, music programs, inoculation clinics, lectures, and assistance at income tax time. Community groups may meet at the library on a regular basis.

More than 100 public libraries are participating in the California Literacy Campaign, a grant program established by the California State Library in 1984. Local libraries match volunteer tutors with adults who have poor reading skills. These residents are then taught to improve their reading levels so that they can function better in their daily lives. In fiscal year 2000-01, more than 25,000 learners and 13,500 tutors participated in the campaign.

Contemporary Library Issues

Some current library issues include growing numbers of "latchkey children", the declining condition of school libraries in many California communities, increasing numbers of homeless and mentally disturbed users, library facilities which are deteriorating or just becoming too small for the increasing use, the need to provide expensive computer equipment, and the need to resist individual and/or group attempts to limit access to library materials.

City Council and Library Relationship/Structure

In California, library services may be delivered to a city by one of several methods:

- The city may establish its own library.
- The city may contract with the county library for library services, or the two bodies may form a joint city-county library.
- The city may be included in a special library district.
- The city may be included in a unified school district library district or a union high school district library district.
- The city may contract with a commercial firm to operate the library.

The method of service delivery also determines the nature of the library's governing body. The library may be governed by the city council or the board of supervisors, or by an elected or appointed board of library trustees. Regardless of the method of service delivery, the local public library is an integral part of the community and is responsive to community needs.

The City Council and Library Department—Relations and Expectations

Assessment of Services. The public library is generally perceived as a public good that is worth supporting, even by those who rarely use it. Hard times for library budgets have sometimes motivated a neighborhood or community to mobilize in support of their library. And the governing body's commitment to providing quality library service is certainly one measure of the "quality of life" in the community.

Like other "human services," the quality of library services is not easily measured or evaluated. The state requires public libraries to keep statistics on their activities, and these can help in the evaluation of the library, especially circulation trends and the increase or decrease in the number of registered borrowers. However, statistics do not give the total picture.

The opinions of library users and community members are very helpful in evaluating the library. If the staff is friendly, well trained, and helpful to all clients and the library atmosphere is inviting, people will enjoy using its services. If the library management and the governing body receive few complaints, and users praise the library, it is fairly safe to assume that the library is doing a good job. Elected officials who do not use the library and rarely visit it are missing their best opportunities for observing staff performance and evaluating library use.

Questions that may be asked in the evaluation process include:

- Is the library used by all segments of the community?
- Is the staff well trained and knowledgeable about resources and collections?
- Can user questions be answered quickly and thoroughly, or can sources for answers be identified for the user?
- Does the library demonstrate that it is a part of the community by displaying items of local interest, by collecting local history, and by encouraging staff members to become involved in local organizations?

Automation and Capital Needs. In some communities, local officials have been reluctant to commit the large initial capital outlay that is required to automate the library, and to maintain and upgrade its computer system in a timely manner, although they have automated many other routine functions in other departments. Experience has shown that the automation of library routines relieves staff of record keeping and enables them to expand services to meet the ever-increasing expectations and demands of the public. Automation also enables staff to perform other tasks that may not be getting done.

One of these tasks is that of fulfilling the responsibility to account for the library's collections. Taking inventory of thousands or millions of items by hand is an almost

impossible task with existing staff. With a database, the library has an efficient means of tracking and accounting for most of its inventory. This in turn enables the staff to know which items are so much in demand that more copies are needed, or which important items are missing and need replacement. And this is much better service to the public.

Facility Needs. Another very effective way of improving service is to build new libraries that are energy efficient, handicap accessible, easily maintained, and prepared for the installation of the newest computer technology. Too many public libraries are housed in antiquated facilities that lack handicapped access, fire suppression systems, adequate seating, decent restrooms, and staff work space. Some public libraries are so badly out of compliance with fire, building, and electrical codes that they would be closed if they were operating in the private sector.

The safety and security of the public, the staff, and the city's enormous investment in its library collections are at constant risk in such buildings. Unfortunately the mitigation of these problems requires a large capital outlay that local officials hesitate to commit as long as they can "get by" with the current situation. It is sometimes the case that the library staff provides efficient, quality library service *in spite* of all these handicaps; the improvement in service would be even more dramatic were such an excellent staff moved into an improved facility.

Contemporary Library Issues

All city services face a never-ending demand for more and better services, and the library is no exception.

- Growing communities with young families make many demands upon the local schools and the public library.
- More and more residents have personal computers at home, and they expect to be able to access library resources from home.
- Library users also expect to find the same up-to-date equipment and resources at the library that they have at home.
- Communities with more elderly persons on fixed incomes are experiencing more demand for services specifically for the senior citizen, and this is one of the groups often targeted by public libraries for special service programs, such as large print books, talking books, and information and referral services.
- New businesses and industries bring in more people to use city services and new demands on the library's business collections.

Of major concern to library staff members is the increasing number of "***latchkey children***" frequenting the library. Many working parents, unable or unwilling to provide after-school care, instruct their children to go to the library after school and to remain there until they are picked up hours later. They assume that their children will be safe and supervised at the library, not realizing that because it is a public facility, it is open to all elements of society, and the busy staff cannot take responsibility for watching the youngsters.

Bored, restless children sometimes behave inappropriately, demanding constant attention from the staff, who are then unable to help other library users. The American Library Association has prepared guidelines for libraries dealing with this nationwide problem, and libraries are working with their local police and other agencies to establish methods for handling problem and neglected youngsters.

Another youth-related concern of public librarians is the continuing **decline of school libraries**, especially in elementary schools. The lack of funding for school libraries throughout the state has resulted in outdated collections and poor staffing; often a school library is run by an untrained aide or a parent volunteer. This has created an enormous demand on public libraries for materials that support homework assignments, and for homework assistance after school hours. Public librarians try to balance the needs of local children against the needs of the rest of the community but find it increasingly difficult.

Another significant problem is that the public library, because it is a public facility, has become "home" to an ever-growing number of the **homeless, mentally disturbed, and transient** members of the population. These people find the library a comfortable and non-threatening place to spend the day, but their appearance and behaviors are sometimes upsetting and intimidating to other library users. Unless they commit a misdemeanor, such as disturbing the peace, there is no legal ground for ejecting them from the library.

Like unattended children, the homeless and transient people frequenting the public library are more than a library problem; they are a community problem. Solutions may be found in the provision of more day care programs and facilities for both groups. Libraries cannot solve these problems, but they can contribute to community-wide efforts to do so.

There is and will always be a demand for basic library service, for no other institution provides the materials and services that are the responsibility of the public library. It has been said that the continuance of our democratic way of life depends in part on the public library’s continuing ability to provide materials on all topics and from all points of view without interference or censorship by any particular group, sect, or creed. Groups that seek to limit or prescribe the services of the public library seek to interfere with our citizens’ most basic rights. Library management needs the support of its governing bodies in resisting such interference.

The Human Resources Department

A city's human resources department has responsibility for personnel matters affecting all city departments. Human resources serves as an internal consultant helping other city departments recruit and retain the best possible workforce, training and motivating employees once they are hired, ensuring a fair and equitable system of personnel management and resolving employee relations problems.

Human Resources professionals have four major roles within their cities, the traditional role of providing technical expertise, and three emerging roles: "business partner", working with management to devise effective solutions to an organizational or performance problem; "change agent", helping others understand the need for change, planning and training for change; and, "leader", influencing others, and balancing concerns for employees with organizational requirements and goals.

Cities in California vary as to how their human resources functions are organized. Many cities have changed the name of this function from "Personnel Department" to "Human Resources Department." Medium- to large-size cities are likely to have a full-service Human Resources Department with the responsibilities of the director ranging from recruitment and selection to risk management. Smaller cities may have a personnel officer or personnel manager reporting to a department head or to the city manager. In other cities, the assistant city manager may be designated to handle human resources responsibilities.

Many cities include risk management functions (workers' compensation, liability, insurance and safety) as part of the Human Resources Department.

Primary Functions of the Human Resources Department

- Labor and employee relations, including negotiating the city's labor contracts and resolving employee grievances
- Recruitment and selection for vacancies and promotional opportunities in city departments, and compliance with non-discrimination law
- Classification and compensation to ensure that employee job descriptions and pay are consistent with the actual duties being performed
- Employee recognition programs
- Training and development so that employees grow professionally and provide improved services to citizens
- Administration of retirement, health, dental, and other employee benefits
- Risk management, involving workers' compensation, liability, insurance and safety
- Maintaining personnel records

The Human Resources Department and the City Council

Elected city council members set public service policy for the city. In that capacity, elected officials can assist in effective management by getting to know how their decisions affect the city's largest resource: its employees. The human resource department functions and responsibilities are key to successful organizational effectiveness. Moreover, elected officials can expect to be kept apprised of ever-changing employee relations law, and the costs and values of the city's workforce.

Following is a summary of the key organizational responsibilities of the human resources department.

Labor and Employee Relations

Employer-Employee Relations Resolutions

Every city should have a resolution or ordinance that provides procedures for administering employer-employee relations between city management and the city's employee organizations and for resolving disputes regarding wages, hours and other terms and conditions of employment. This document is often described as the Employer-Employee Relations Resolution (EERR) or Employee Relations Ordinance (ERO).

The EERR or ERO defines the process for recognizing employee organizations (or "bargaining units") as prescribed by Government Code Section 3500 et seq, the "Meyers-Milias-Brown Act" or MMBA, originally adopted in 1969. In 2001, MMBA was modified to include resolution of disputes regarding unit determination through the Public Employment Relations Board (PERB). The number of bargaining units depends in part upon the services and functions provided by the city. In a full-service city with its own police and fire departments, a city is likely to have bargaining units representing the following employee groups:

- Police safety employees
- Fire safety employees
- General unit employees (rank and file employees, such as clerical and maintenance)
- Management unit employees (may have separate groups for police management, fire management and general management). This is very different from the private sector.

The EERR or ERO outlines a process for meeting and conferring in good faith under MMBA in order to reach agreement on a labor contract, or Memorandum of Understanding (or Agreement) (MOU or MOA). The city's "municipal employee relations officer" is designated in the EERR or ERO. This individual is typically the director of human resources or employee relations manager.

The city may utilize the director of human resources or a consultant as its chief negotiator.

Providing Labor Relations Information to the City Council, Manager and Other City Officials

The municipal employee relations officer requests guidance and provides labor relations information through the city manager to the city council. Such contacts, normally during closed session, include:

- Discussion of parameters for negotiating with specific employee groups
- Data on employee groups (wage and benefit data and comparisons with similar positions in other public agencies)
- Proposals made to the city's bargaining team by employee groups along with the cost of implementing the proposals
- Proposals made by the city's bargaining team, along with cost data

The city council approves final labor contracts, or MOU/MOA's, in open session.

In the event the management and labor representatives are unable to reach agreement on an MOU/MOA, the city's resolution provides for impasse procedures that may include a hearing by the council, mediation, fact-finding or arbitration. Under current State law, impasse with public safety employee units may result in mandatory binding arbitration, during which a neutral arbitrator ultimately determines how the impasse is resolved.

Recruitment and Selection

Recruitment: The Human Resources Department works with the hiring department through all phases of the recruitment and selection process, from advertising a vacancy to final appointment of an employee. A goal is to target a pool of well-qualified applicants so staff may advertise with professional associations and newsletters, in addition to media sources. Many cities use the Internet to advertise for city job openings.

Selection: Staff evaluate job applications according to established qualifications for education, training and experience. They also test applicants via written exams, performance tests and oral interviews. Interview panels may consist of representatives in the field from other agencies, in addition to managers from the hiring department.

Human resources staff are responsible for compliance with state and federal non-discrimination laws in the hiring process, including Equal Employment Opportunity (EEO), the American's with Disabilities Act (ADA), and similar California statutes. Human resources staff may assist hiring departments with background checks on top candidates, and coordinate pre-employment medical exams and fingerprinting of new hires. Other responsibilities include new employee orientation, so that new hires learn about the city, its services, and its overall values and mission, as those factors relate to the employee's specific assignments.

Classification and Compensation

Compensation Surveys: Comparing salaries and benefits with other public agencies for similar positions is an ongoing function of human resources staff. The data is used in collective bargaining with labor groups and for city departments in the process of establishing new or revised positions. Some cities compare their pay to the private sector as well. The factors involved in comparison, and the selection of comparison employers, are matters of policy (determined by City Council) and collective bargaining (determined with employee organizations).

Pay and Classification Studies: As functions of city departments change in response to public needs, human resources staff analyze job duties and recommend changes in current jobs or creation of new positions. Compensation changes may be recommended commensurate with changes in job duties. Pay or classification studies may be conducted for an entire city department, a division of a department, a specific bargaining unit or a job family (for example, clerical positions).

Employee Recognition Programs

Many cities have introduced employee recognition programs with support from Human Resources Department staff. Components of employee recognition programs may include:

- Employee commendations
- Service year awards
- New employee ceremony for employees and families

Employee commendation programs may involve nominations by co-workers or supervisors for exceptional performance by individuals or teams of employees. The city council may recognize employees publicly at council meetings as a way to inform the community of outstanding city employees.

Service awards are presented to employees who have worked for the city for a certain number of years, e.g., at five-year intervals.

New employee ceremonies may be held regularly (monthly or quarterly) to provide a welcome by council members, the city manager or department heads to newly hired city employees and their families.

Training and Development

Through its training function, Human Resources has an important role in helping employees provide quality services to the public, and in developing the successors for future promotional positions within the city. Staff may conduct a needs assessment survey citywide or for one department or division. Training may be handled internally by city staff or may be contracted externally to another firm. While training costs money it is an investment in reducing the city's liability, increasing employee productivity and improving services. Typical training programs may include:

Supervisory Training Programs: When new supervisors are hired into the city from another agency or a non-supervisory employee is promoted to a supervisor, it is important to train supervisors in procedures such as grievance handling and disciplinary procedures.

Professional Development Training: New federal or state regulations affecting programs operated by city staff require regular, ongoing training so that staff remain in compliance with appropriate regulations, as well as providing knowledge and skills that will be important for the employee as he/she seeks career growth within the city.

Skills Training: As new technology is introduced citywide, or job skills change, staff must be trained in efficiently applying the technology and skills to their jobs. In recent years, there has been considerable emphasis on "customer service" training.

Risk Management

Administration of Employee Benefits

Cities provide a wide range of benefits to their employees including health, dental, vision, short- or long-term disability, and life insurance, employee assistance programs, deferred compensation programs, and retirement. Many of these benefits are subject to complex federal and state regulations. Cities should have staff who are knowledgeable in the benefits area to administer these programs and assist employees. Most cities also utilize the services of an insurance broker to assist with negotiating contracts, making plan changes, and resolving insurance problems.

A city's contribution toward the costs of these benefits and the scope of the plans is generally subject to negotiation with the employee bargaining units. These negotiations can at times become quite contentious due to the significant costs of these programs and the frequency and severity of cost increases.

Many cities contract with the California Public Employees' Retirement System (CalPERS) to provide a retirement plan. CalPERS also offers medical insurance and other benefit plans.

Workers' Compensation Administration

Employees who become ill or are injured in the course and scope of their jobs are entitled to workers' compensation benefits. The California Labor Code explicitly defines these benefits. Staff must be well educated on the provisions of the Labor Code, must be able to communicate effectively with supervisors and employees about the responsibilities of the city and the rights of the employees, and must have a general understanding of medical and legal terminology.

Workers' Compensation functions may be organized differently from city to city. Cities may self-administer claims by hiring staff to process claims. However, many cities choose to contract with a third-party administrator for this function. Risk Management staff responsibilities, outside of claims administration, include analyzing claims frequency and severity, predicting future losses, developing loss control programs, working with departments to create appropriate workplace safety policies, and working with departments and employees to effectively return injured employees to work.

Liabilities Claims Administration

As provided by the California Government Code, persons wishing to recover money from cities for damages or injuries must file a claim against the city. Frequently such claims arise from minor property damage incidents, trip-and-fall accidents, vehicle accidents, allegations of police misconduct or civil rights violations, or contract disputes. As with workers' compensation administration, cities may self-administer these claims or may choose to contract with a third-party administrator. Liability staff generally works in conjunction with the city attorney. Staff responsibilities, outside of claims administration, include consulting with departments, analyzing loss patterns, and predicting future losses. In addition, liability staff is usually called upon to review contracts into which cities enter to ensure that the language appropriately addresses liability and insurance concerns.

The Government Code allows city councils to delegate their authority to deny or settle claims to city staff. Typically, city councils will delegate such authority up to a certain dollar amount. Settlements above the delegated amount are decided during closed sessions, after presentations and recommendations by the city attorney or other staff.

Insurance

Cities purchase commercial insurance to cover many exposures including general liability, workers' compensation, property, automobile, earthquake, flood, and various employee benefit insurances. These coverages may be purchased directly from carriers or through Joint Powers Authorities (JPAs). JPAs typically offer increased negotiating power and lower premiums than standalone programs. They may offer other incentives as well, such as risk management support, dividends for loss reduction, etc.

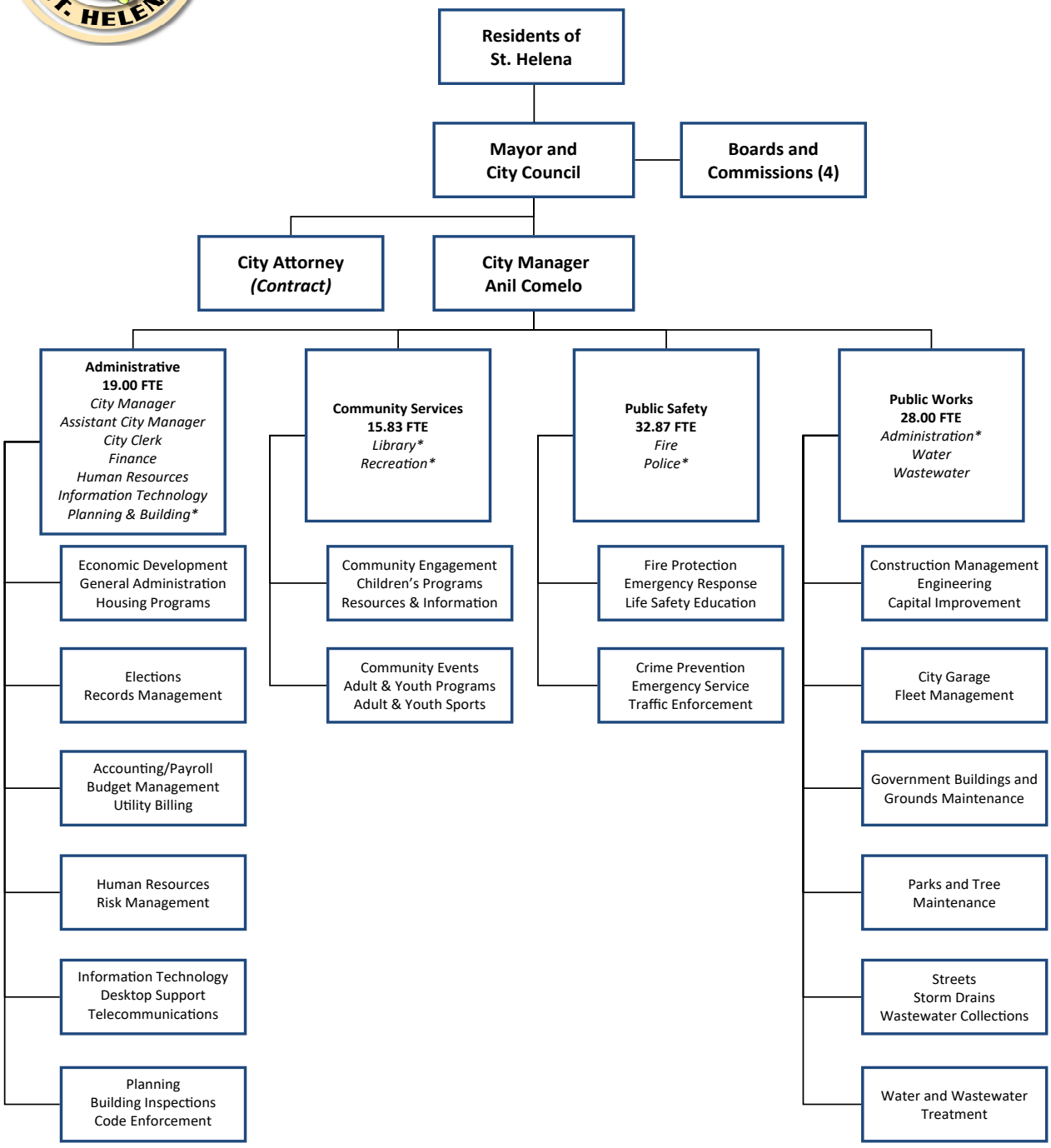
Frequently, cities will choose to retain a certain portion of their losses for many of the above-mentioned exposures. The dollar amount for which no insurance is purchased is known as the self-insured retention. Cities must set aside funds to pay for these retained losses and must recognize the liabilities as prescribed by the Governmental Accounting

Standards Board (GASB). Insurance purchased for losses above the retention is known as excess insurance.

JPAs may similarly choose to retain a certain portion of losses. Member cities will then pool resources to cover the retained losses. City councils are generally required to appoint a council member or staff person to serve on the JPA board of directors. The JPA board is responsible for making decisions about general administration, claims administration, insurance programs, and investments.

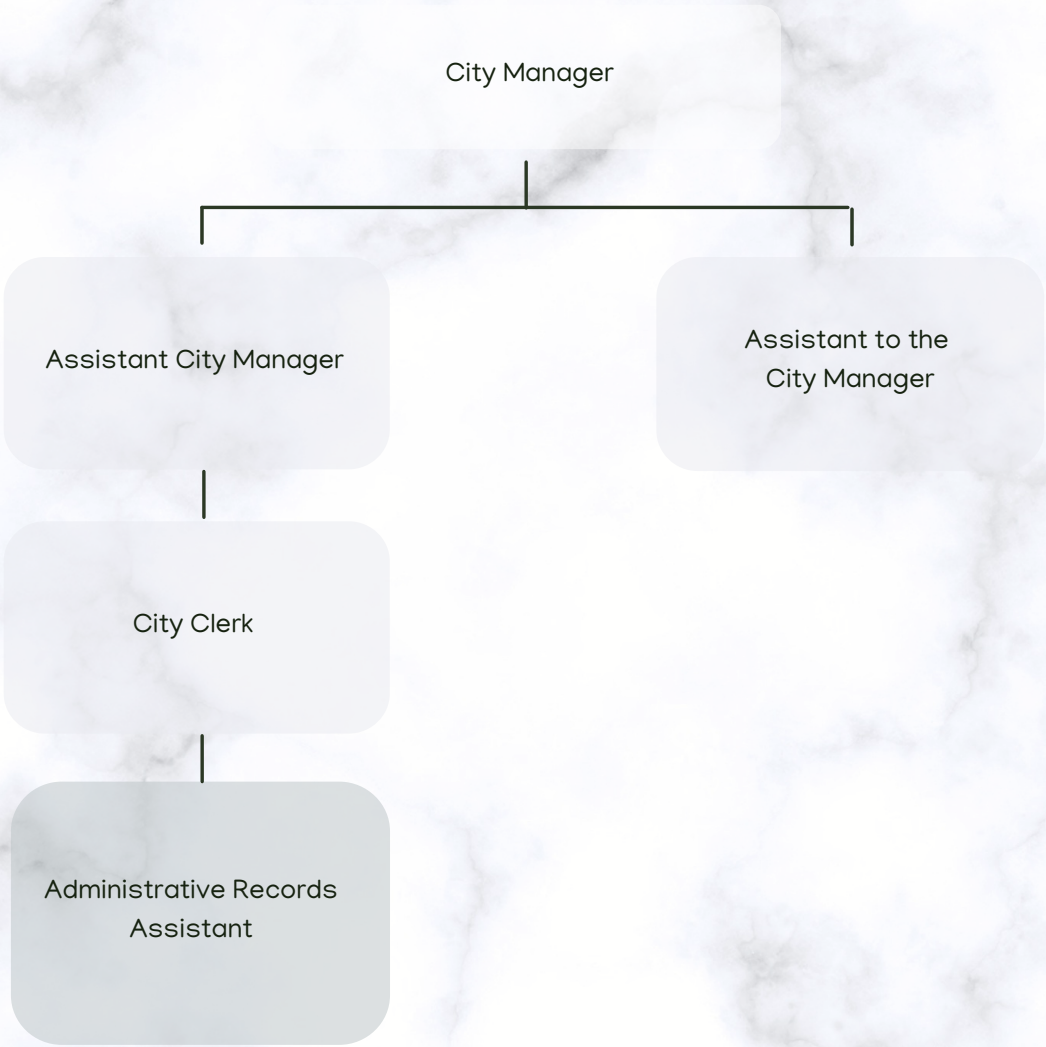
City of St. Helena

Fiscal Year 2022/23 Organizational Chart



**Not all FTE will be filled, as some positions have been frozen during the start of FY 2022-23.*

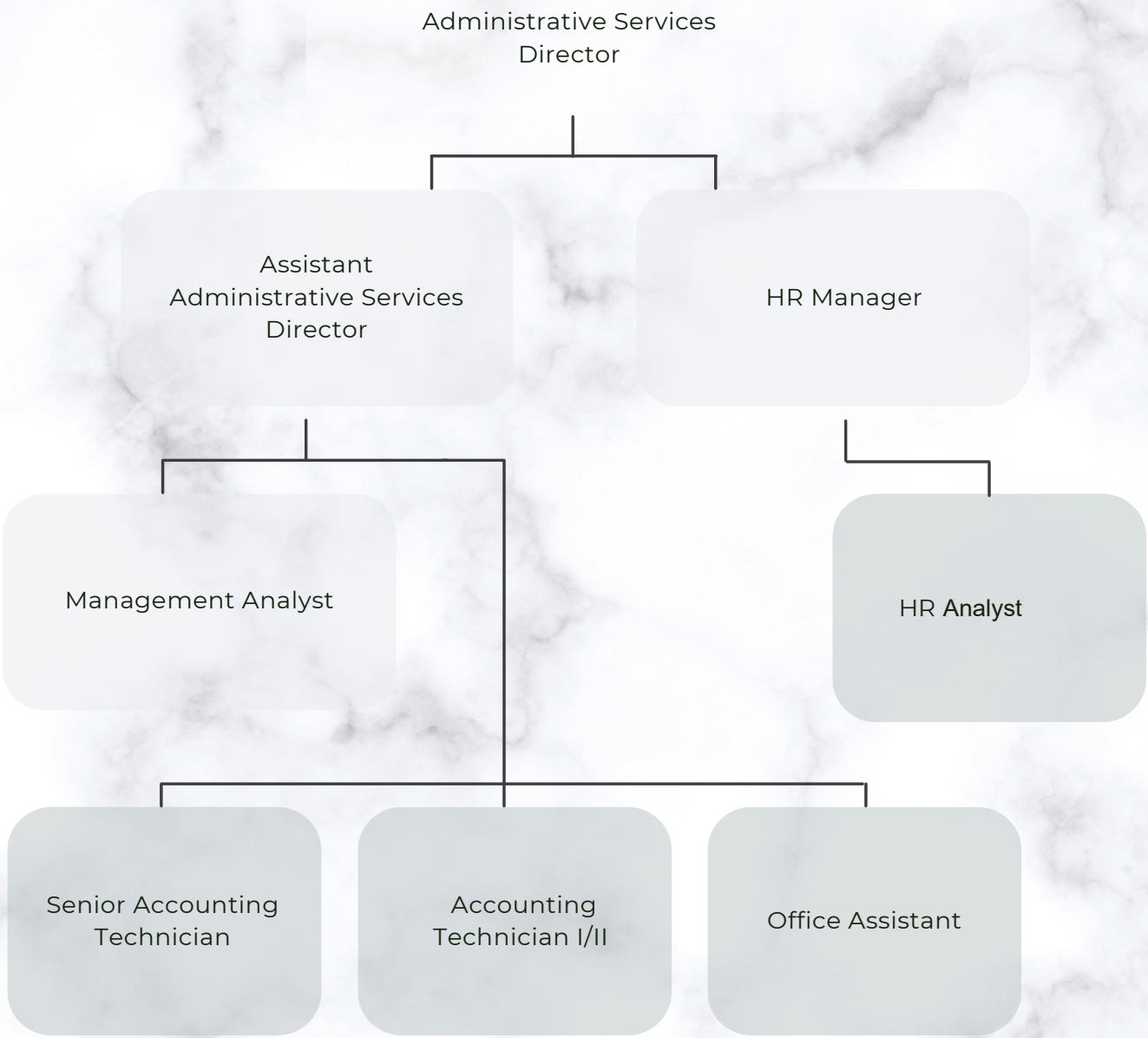
Administration Organizational Chart



Department Codes:

- 4200 – City Manager
- 4210 – City Clerk

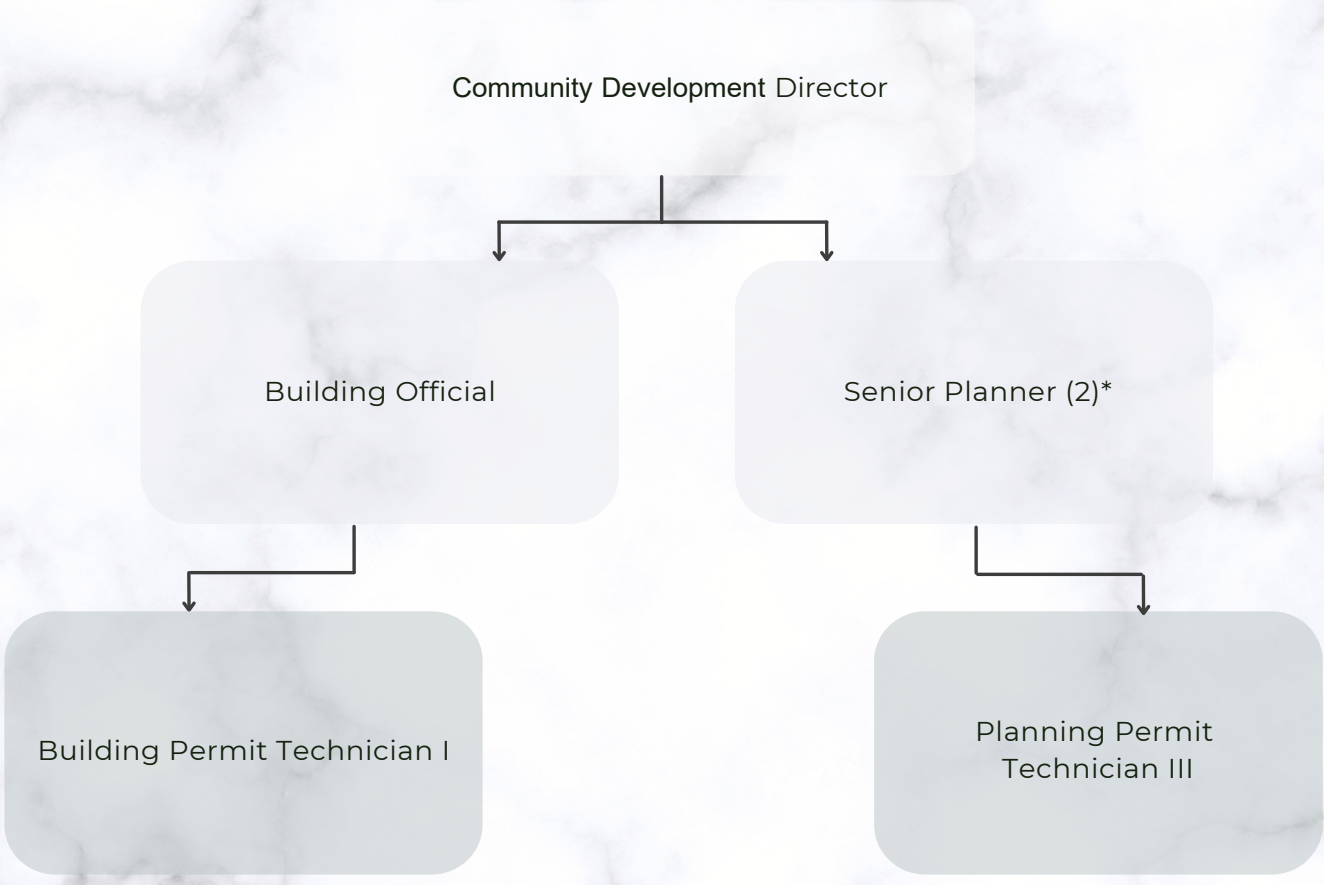
Organizational Chart
Admin. Services



Department Codes:

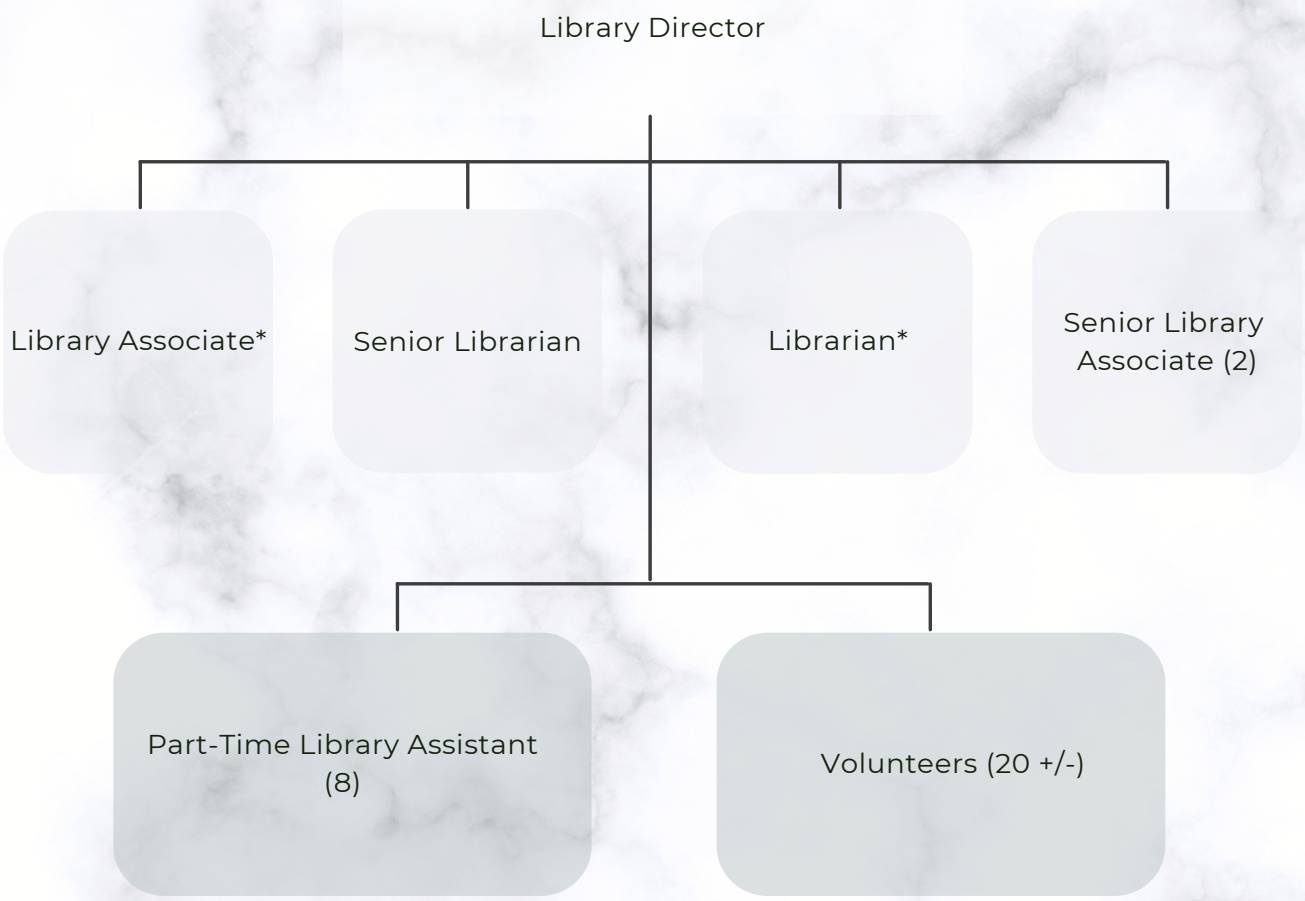
- 4300– Finance
- 4320 – Information Technology
- 4310–Human Resources

Organizational Chart
Planning & Building



*One FTE Position has been frozen for FY2022-23

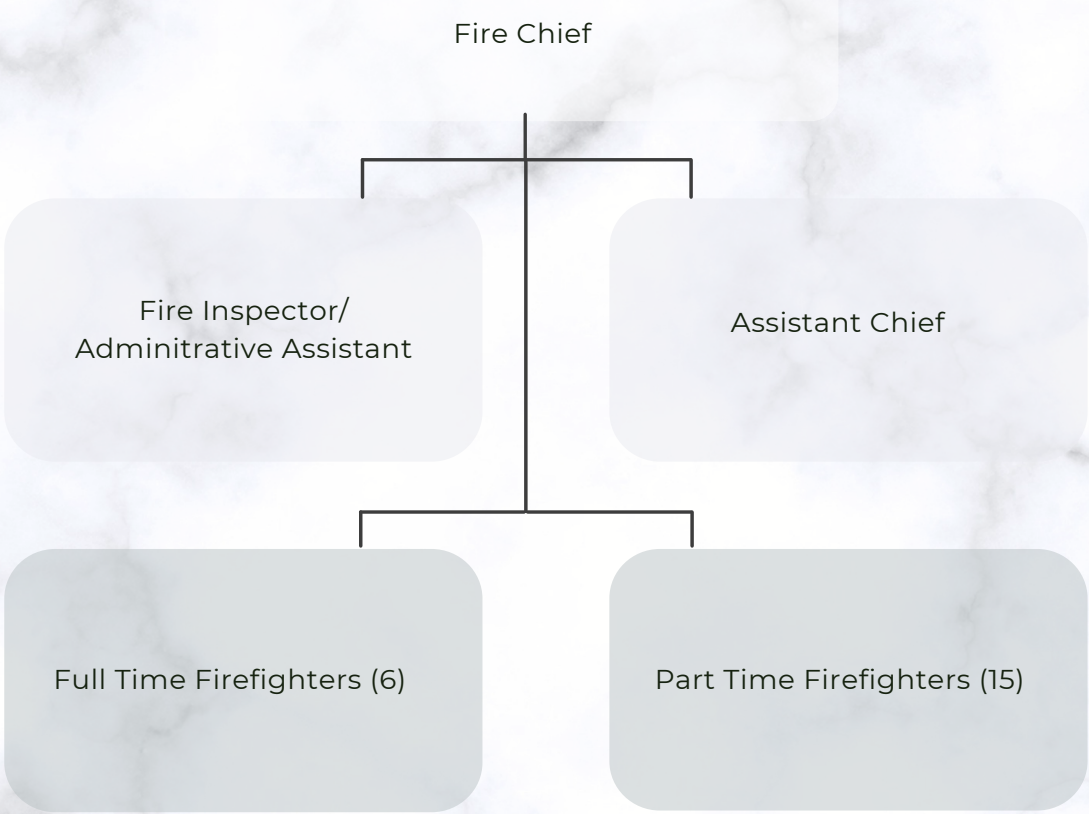
Organizational Chart
Library



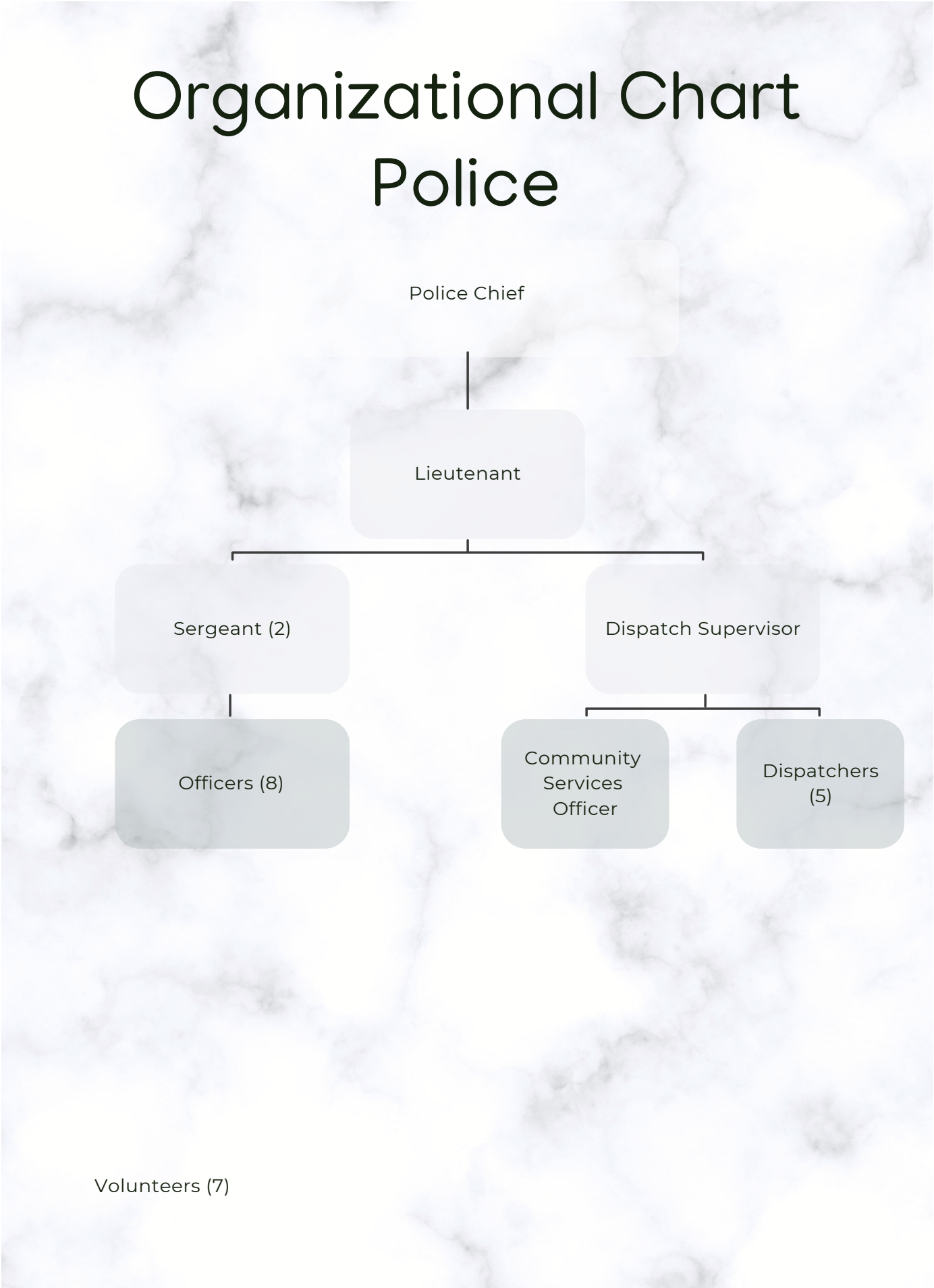
*One FTE Position has been frozen for FY2022-23

Organizational Chart
Parks & Recreation

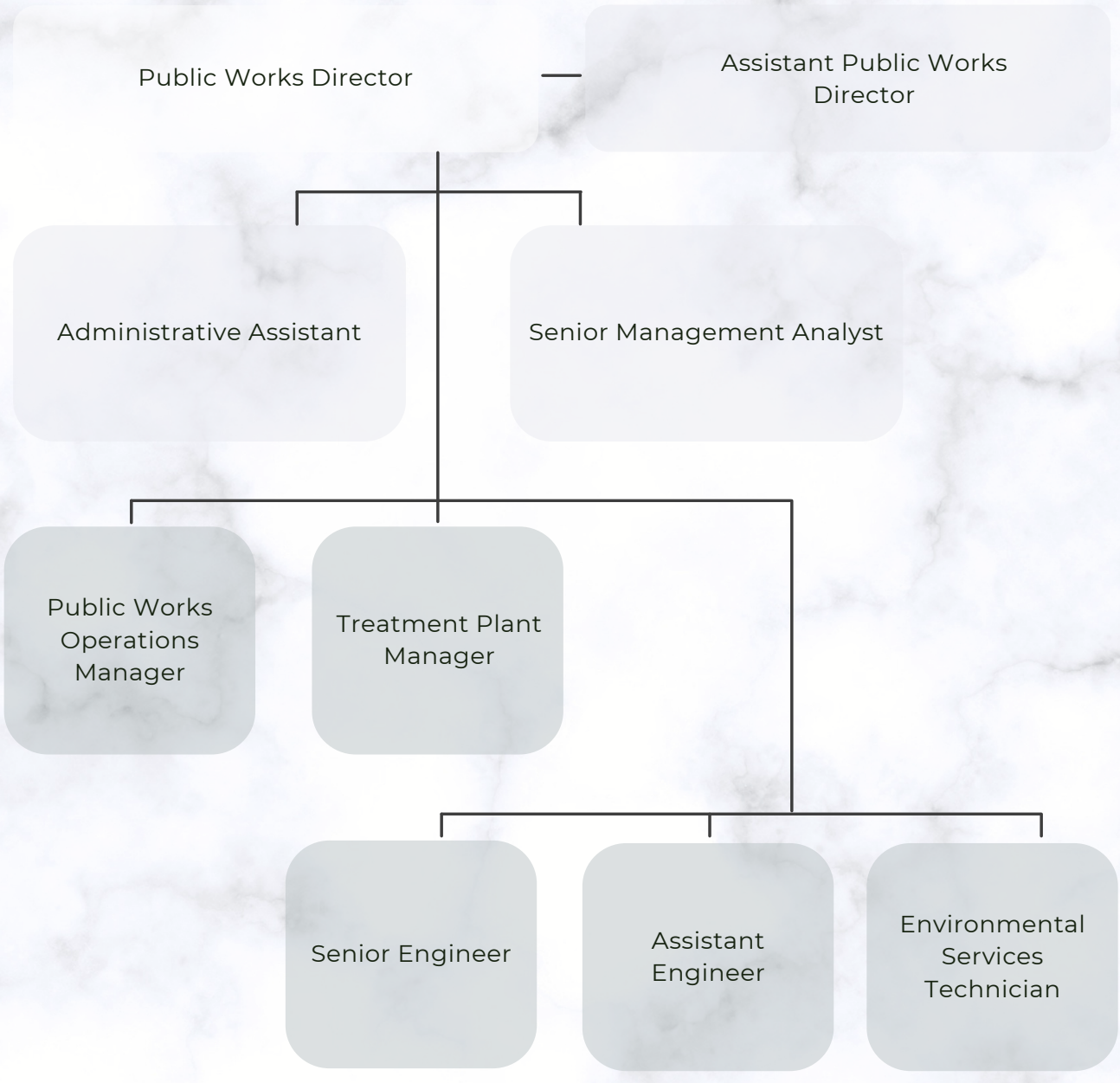
Organizational Chart
Fire



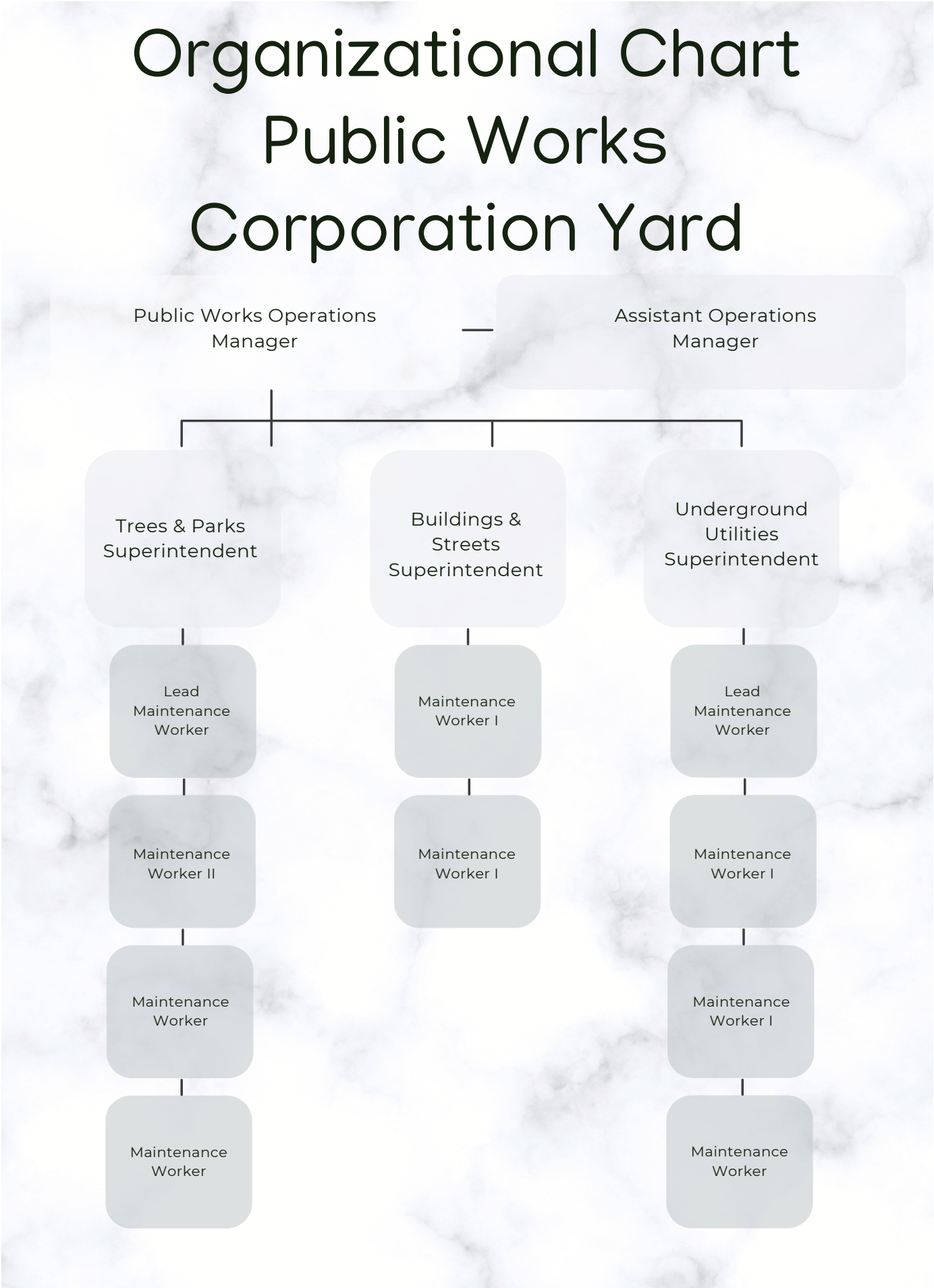
Organizational Chart
Police



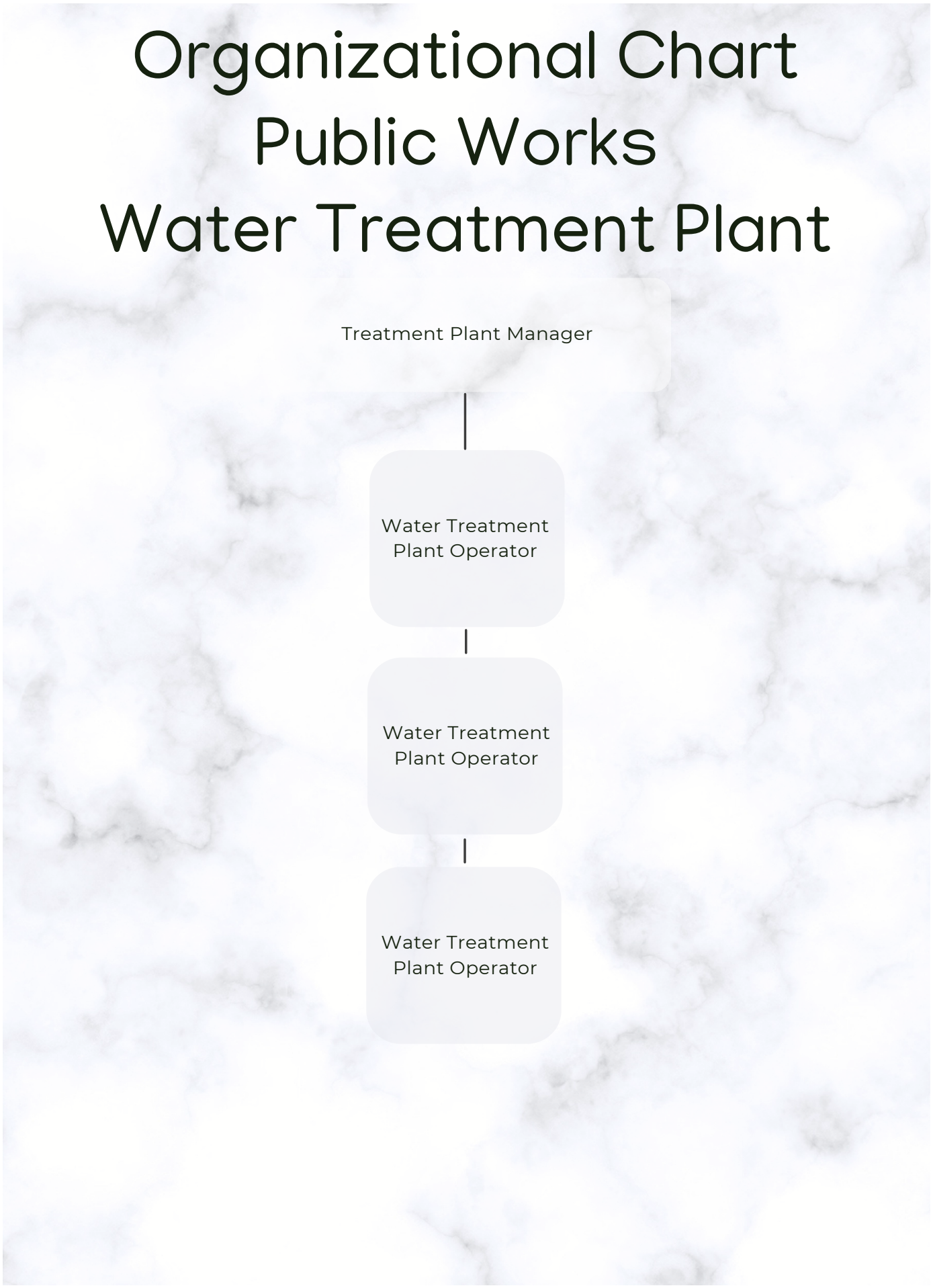
Organizational Chart Public Works Administraion



Organizational Chart Public Works Corporation Yard



Organizational Chart
Public Works
Water Treatment Plant



Organizational Chart Public Works Wastewater Treatment Plant

City Council (4100)

Budget 2022-23

Purpose

The City Council is the governing body of the City of St. Helena and has the power to make and enforce all laws related to municipal affairs, subject only to the limitation of the City Code and the State Constitution. The Council is responsible for the formulation of policy, enactment for legislation, control of revenues, and the appropriation of funds.

Vision Statement

St. Helena strives to be a diverse, inclusive, family-friendly, economically and environmentally sustainable community which prudently manages all of its resources, continues to improve its infrastructure, ensures its water security, provides a full range of housing, business, cultural and recreational opportunities and cherishes its historic, small-town character, beautiful natural environment and high quality of life.

3-Year Goals

- Improve and Maintain Safe and Reliable City Infrastructure with a Commitment to Environmental Stewardship, Public Health, and Public Safety
- Stabilize, Maintain and Improve Access to Housing
- Enhance Organizational Performance, Communications, and Commit to Full Public Participation and Regional Collaboration
- Ensure Long-Term Economic Sustainability while Supporting St. Helena's Charm and Rural Character
- Support Thriving Families and Enhance the Safety, Well-Being, and Healthy Development of our Youth
- Support Initiatives that respond to and plan for Climate Change

City Council (4100)

Budget 2022-23

Accomplishments

- Authorized the appointment of the City's next City Manager, Anil Comelo.
- Adopted a resolution declaring a climate emergency committing to provide leadership and services to achieve its goal of net zero climate pollution by 2030.
- Authorized three new full-time positions to substantially enhance the City's capacity to execute and deliver the elements of the City Council's Work Plan. The positions are: Assistant City Manager, Management Analyst for the Administrative Services Department, and a Treatment Plant Operator which will oversee both the Water and Wastewater systems.
- Initiated a Youth Representative pilot program to provide youth an opportunity to share their authentic voices to community leaders
- Authorized four additional full-time firefighter positions to provide station coverage 24 hours a day, 7 days a week.
- Approved a conservation easement for the Flood Control Project which was the final step to release a $237,000 retention from the Department of Water Resources and closed out the Flood Control Project.
- Appointed of Water and Wastewater Rate Study Advisory Committee
- Authorized placing of a ballot measure on the June 7, 2022 ballot for the issuance of GO Bonds for critical City infrastructure projects which has an apparent passage of 75%.
- Authorized $9.3 million in financing for the Wastewater Treatment Plant Phase I upgrade project
- Authorized a $250,000 permanent loan to Our Town St. Helena to assist with the development of four new affordable housing units in St. Helena.

City Manager (4200)

Budget 2022-23

Purpose

The City Manager is responsible for providing general administrative management of the City; acting as a liaison between the City Council and Staff; carrying out, on behalf of the City Council, its policies, rules, regulations and laws; overseeing the delivery of public service; reviewing and approving staff reports for Council meetings.

The City Manager serves as the administrative head of the City of St. Helena overseeing the general administrative management of the City. The City Manager is responsible for implementing policies, rules, regulations and laws adopted by the City Council and for the overall management of the City's approximately 100 employees. City Management staff, including the Administrative Services Director, Police Chief, Public Works Director, Planning & Building Director, Library Director, Recreation Director, and the Assistant to the City Manager report to the City Manager, who in turn re-ports directly to the elected Mayor and City Council.

Accomplishments

- Presented for adoption a balanced FY 2022-23 budget
- Successfully negotiated a lease agreement between the Napa Valley College and City to relocate the City Hall and Police Department into one building.
- Successful bid out the Napa Valley College Tenant Improvement Project (C22-0001) in preparation for the relocation of the City Hall and Police Department.
- Successfully conducted opinion research regarding infrastructure challenges.
- Provided educational support Measure H: GO Bond by holding informational sessions to the community.
- Provided leadership during the City Manager transition by hiring an interim City Manager and providing support to successfully find a permanent City Manager.
- Worked with the St. Helena Community to complete the analysis of St. Helena Vine Trail route options and facilitated Council decision making on preferred route.
- Presented and commenced initiatives outlined in the St. Helena Business Recovery Strategy
- Assisted with the passage of an Integrated Pest Management Policy to support the City Council's commitment to sustainability.

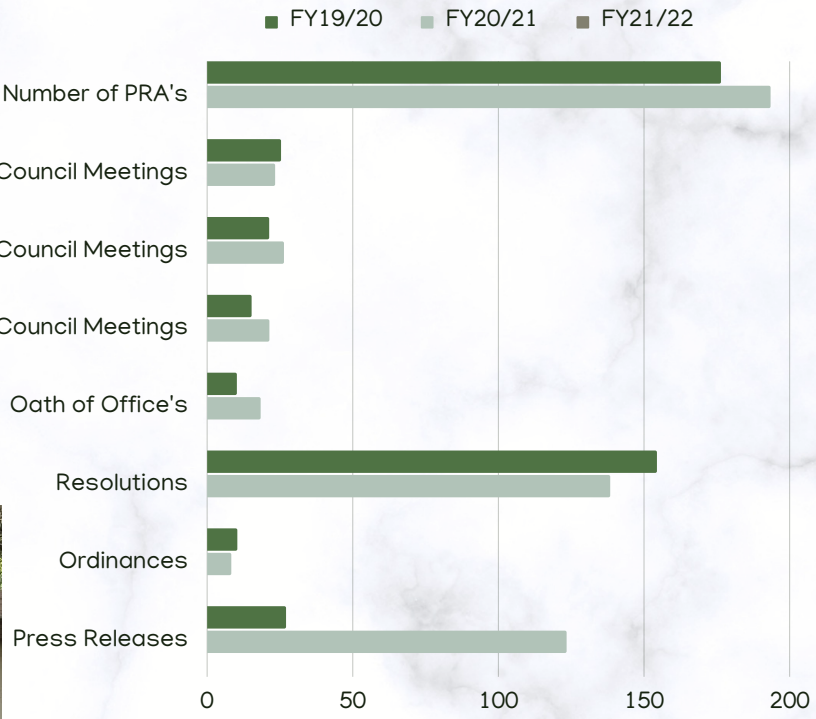
City Clerk (4210)

Budget 2022–23

Purpose

The City Clerk is responsible for the preparation of Council Agendas, Brown Act compliance, records management, Fair Political Practices Commission (FPPC) reporting requirements, and assistance to the City Council.

The City Clerk serves as a resource to the community, to provide the highest level of customer service to the City Council, City staff and the general public. The City Clerk ensures that the legislative process is transparent and accessible and, is the custodian of records and Official Seal for the City, accurate record documentation and information. The City Clerk is also responsible for administering the election process, managing the Fair Political Practice Commission's campaign finance disclosure filings and Statements of Economic Interests, coordinating public records requests, and acting as the primary liaison to the City-Appointed Commissions and Committees.



Administrative Services (4300)

Budget 2022-23

Finance Purpose

The Finance Department is responsible for providing financial management of all City Funds, grants management, and administrating internal service functions for all departments. Major activities include: maintaining the City's investment program and providing necessary financing for capital needs; preparing management and financial analysis reports; developing the Annual Budget; grant contract review, verification of grant reimbursements, and audit closeout; monitoring legislation affecting finances of the City; monitoring the City's risk management needs; administration of the Business License Ordinance; and maintaining & collection of the City's Transient Occupancy Tax (TOT).

Other activities include billing and collection services for City water and sewer utilities, business licenses, parking citations, miscellaneous receivables, and purchasing services.

Human Resources Purpose

The Human Resources is responsible for the recruitment of new employees, benefits, training, retirement, as well as managing Risk Management services for the City.

The City of St. Helena employs over 100 full-time and part-time employees. Our mission is to serve our community and attract and retain a strong workforce committed to serving the public. We provide a wide variety of positions from Police Officers to Librarians, Plant Operators and Administrative Assistants to Engineers. The City offers many challenging and fulling positions in one of the most beautiful communities in the world.

Administrative Services (4300)

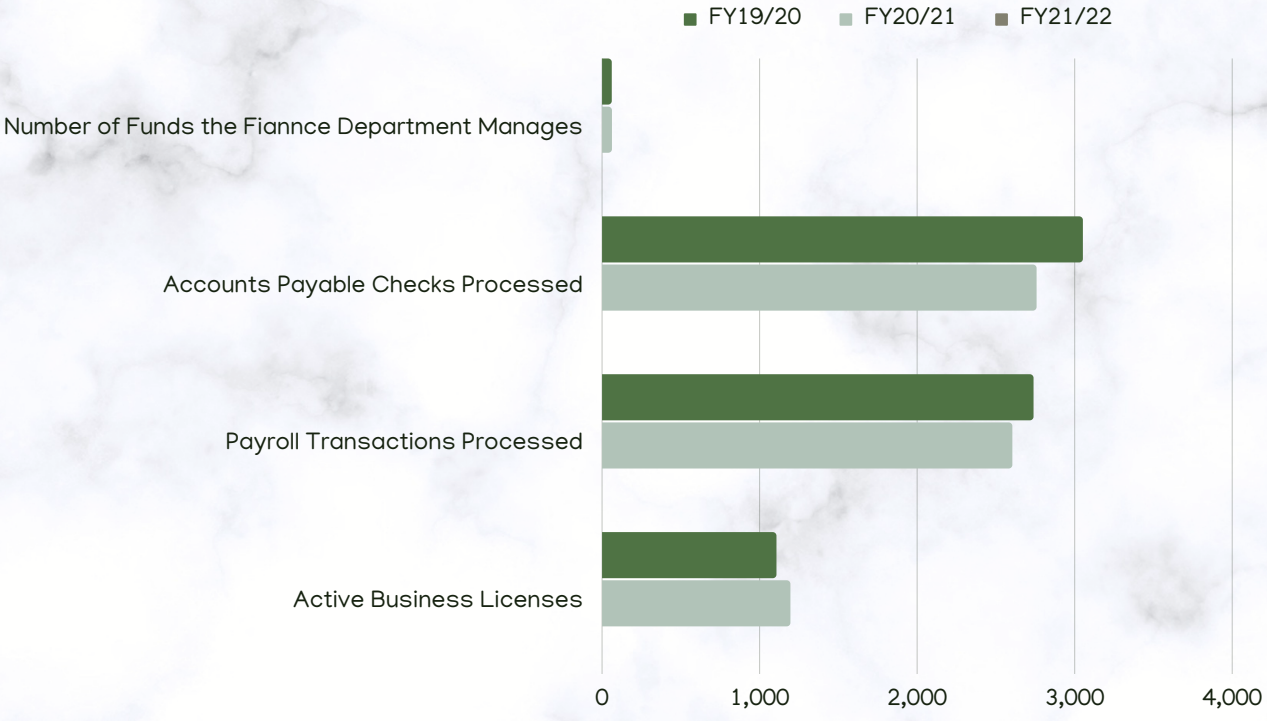
Budget 2022–23

Finance Department Goals

- Manage the financial resources of the City, consistent with financial policies and budget principles established by the City Council.
- Provide timely budget and financial report to City departments to assist meeting departmental goals.
- Ensure sound budget and expenditure control oversight and reporting of the City's funds to protect the fiduciary interest of the community.
- Administer City expenditures in conformance with municipal code requirements for contracts and payables.

Finance Accomplishments

- In FY 2021/22, the City received a Distinguished Budget Presentation Award from the Government Finance Officer Association.
- In FY 2021/22, the Finance Department received the Certificate of Achievement for Excellence in Financial Reporting program for Fiscal Year ending June 30, 2019.
- In FY 2021/22, the Finance Department received an Award for Outstanding Achievement in Popular Annual Financial Reporting for the newly created Popular Annual Financial Report.
- Transition to Springbrook Software onto the current version on the Cloud.



Administrative Services (4300)

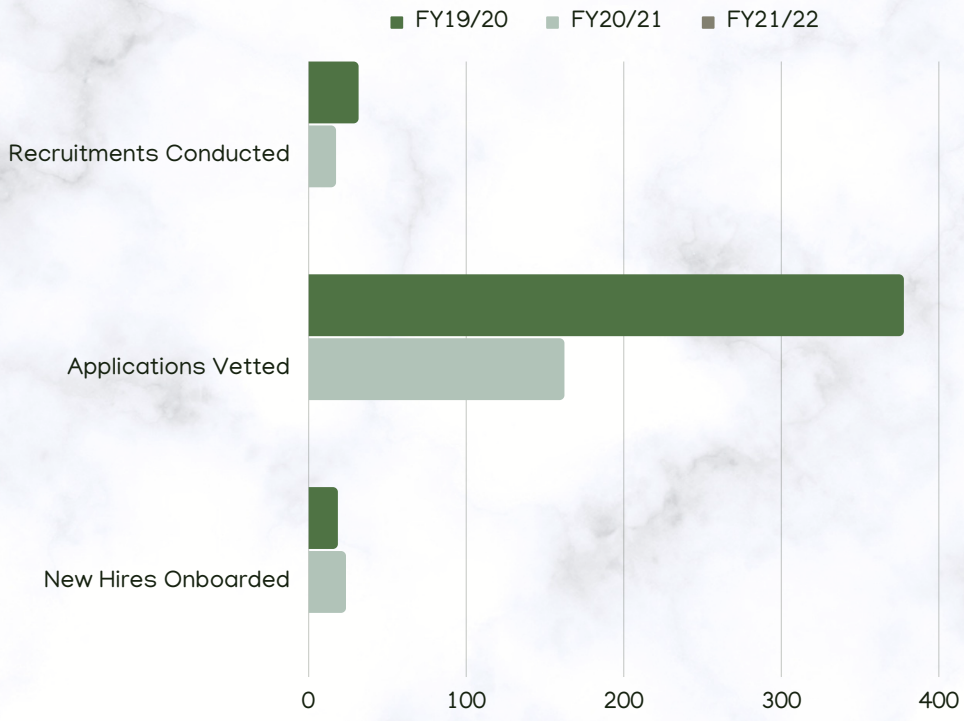
Budget 2022–23

Human Resources Department Goals

• Establishment of division SOPs
• Identify efficient and flexible solutions in delivering City services in a virtual environment.
• Prepare/present to the City Council an employee succession plan and/or strategy to help retain employees and minimize turnover costs.
• Continue to provide training and support to all departments.
• Update language in Municipal Code to reference the update to Administrative Services Department.

Human Resources Accomplishments

- Transitions SHINE Quarterly Newsletter to a Bimonthly newsletter and moved to all digital format following the COVID-19 pandemic.
- Administered City's health benefits programs.
- Administered City's recruitment.
- Administered City's risk and safety programs.
- Completion of updating the Employee Handbook.



City Attorney (4400)

Budget 2022-23

Purpose

The City of St. Helena contracts with the law firm of Best Best & Krieger LLP for its City Attorney services. Ethan Walsh is the City Attorney. The City Attorney, who is appointed by the City Council, is responsible for providing legal advice to the City Council and Staff in carrying out the duties of City government. The City Attorney's duties include framing and reviewing City ordinances, resolutions and agreements, advising on all

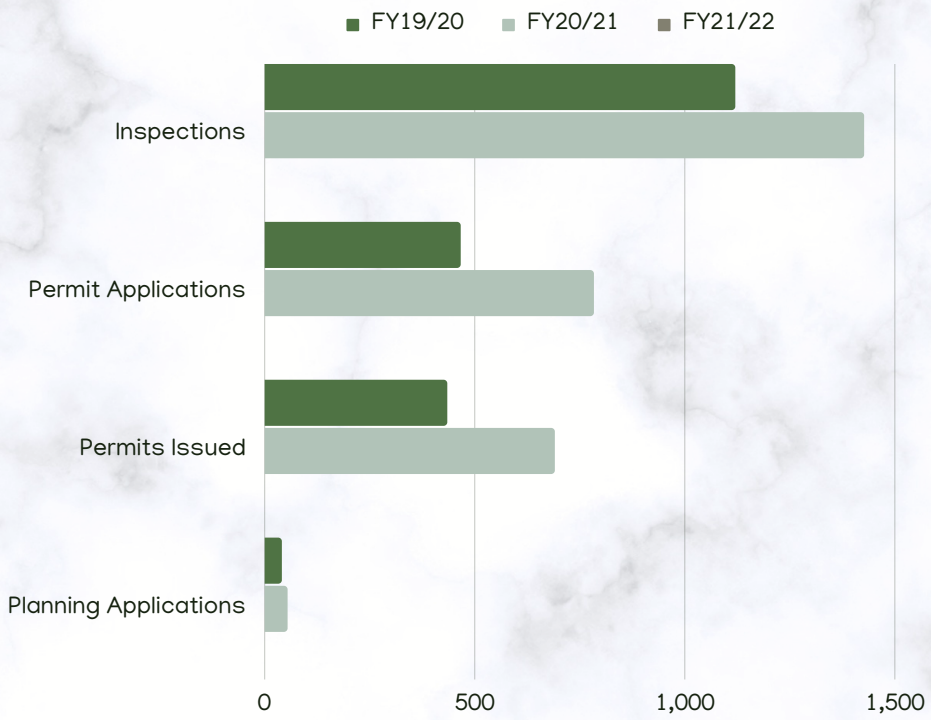
areas of law affecting the City's operations, and representing the City in litigation and in the enforcement of City ordinances and State laws affecting the City. The City Attorney's client is the City of St. Helena, as represented by the City Council and City Manager, and not members of the public.

Planning & Building (4500)

Budget 2022–23

Purpose

The core services provided by the Planning and Building Department are:
Implementation, enforcement, and updates related to the City's General Plan, the City Zoning and City Building Codes. The overarching goal is to maintain and improve the quality of the community and environment. Additionally, this department reviews project plans for consistency with local, state, and federal laws as well as actions taken by the City Council and Planning Commission. The department provides planning and development review services, environmental review to ensure compliance with the California Environmental Quality Act, serves as the City's Housing Administrator, provides building permit plan check and field inspection, and Code Enforcement. (Including Short Term Rental enforcement).



Planning & Building (4500)
Budget 2022–23

Planning & Building Department Goals

- Adoption of Housing Element
- Adoption of updated Safety Element
- Public Meetings to receive comments on Zoning Code Update
- Update Zoning Map
- Adoption of new Zoning Code
- Transition to online permitting software
- Adoption of Trails and Open Space Plan
- Climate action implementation

Planning & Building Accomplishments

- Adopted SB 9 ordinance
- Conducted Surplus Properties Workshop
- Completed plan check of Farmstead Hotel
- Zoning Code Subcommittee completed review of core content for new code
- Sutter Home Baseline Documentation completed
- Provided support to Blue Zones Built Environment Committee
- Completed Hunter EIR public review
- Completed update to Timeshare ordinance
- Renewed Housing Authority Contract
- Conducted 3 Housing Element Update Community Workshops
- Annual Housing Element Progress Report was submitted to and accepted by the California Department of Housing and Community Development (HCD)
- Initiated a Development Review Committee (DRC) internal group to facilitate a more collaborative development review process

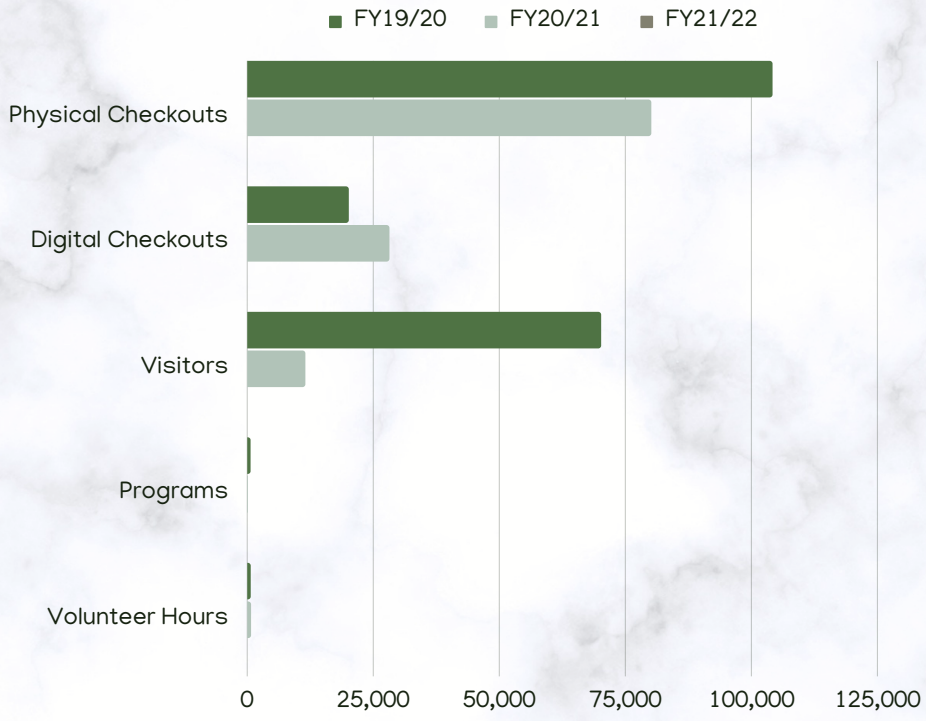
Library (4600)

Budget 2022–23

Purpose

Recognized as one of the best libraries in the country, we are a resource for people in their daily lives as they grow, learn, and challenge themselves at every single stage of life and personal development.

We strive to provide resources, space, and opportunities for civic engagement, as well as gateways to education, learning experiences, and enrichment. Our goal is to maintain and continue to achieve the best in library services by managing our resources wisely, preparing for the future, and being responsive to the changing landscape of the community we serve.



Library (4600)

Budget 2022-23

Library Department Goals

- Be a resource for community members in their daily lives as they grow, learn, and challenge themselves at every stage of life and personal development.
- Strive to provide resources, space, and opportunities for civic engagement as well as gateways to education, learning experiences, and enrichment.
- Maintain and continue to deliver the best in library service by managing our resources wisely, preparing for the future, and being responsive to the challenging needs of the community we serve.

Library Accomplishments

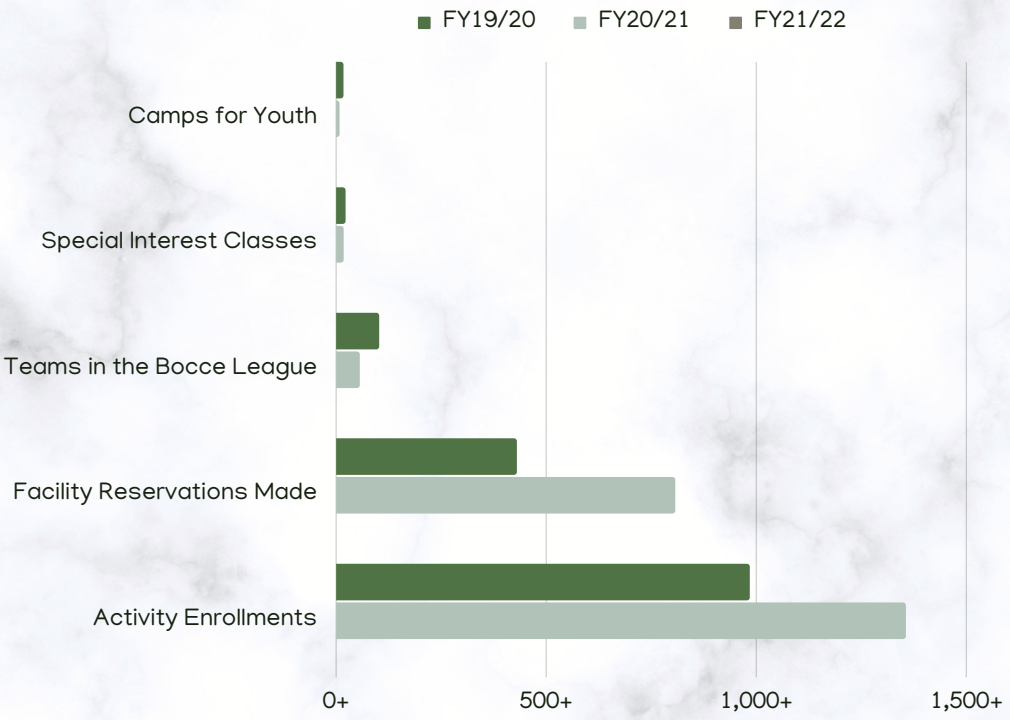
- Expanded the reach of the Library's outside WiFi.
- Became a virtual library during COVID closure with increased e-resources and virtual programing (including story times, reading challenges, lectures, and cooking demonstrations).
- Implemented curbside service and then transitioned to being open safely again to the Public, first on an appointment-only basis.
- Implemented a craft kit program which provided 26 different kits (a total of 1275 kits).

Parks & Recreation (4728)

Budget 2022–23

Purpose

The Parks & Recreation Department provides leisure and community services to the residents of the City and enrichment programs for all ages. Its mission statement is, "Harvesting Community Experiences that Celebrate St. Helena" and its visions statement is, "To be the destination for leisure and community experiences that preserves St. Helena's small town lifestyle." Programs include adult and youth sports such as bocce, softball, basketball & soccer, arts, crafts, drama and music, as well as vocational skills, educational classes, and summer camps & childcare. The Parks & Recreation Director serves as staff liaison to the Parks & Recreation Commission.



Parks & Recreation (4728)

Budget 2022-23

Parks & Recreation Accomplishments

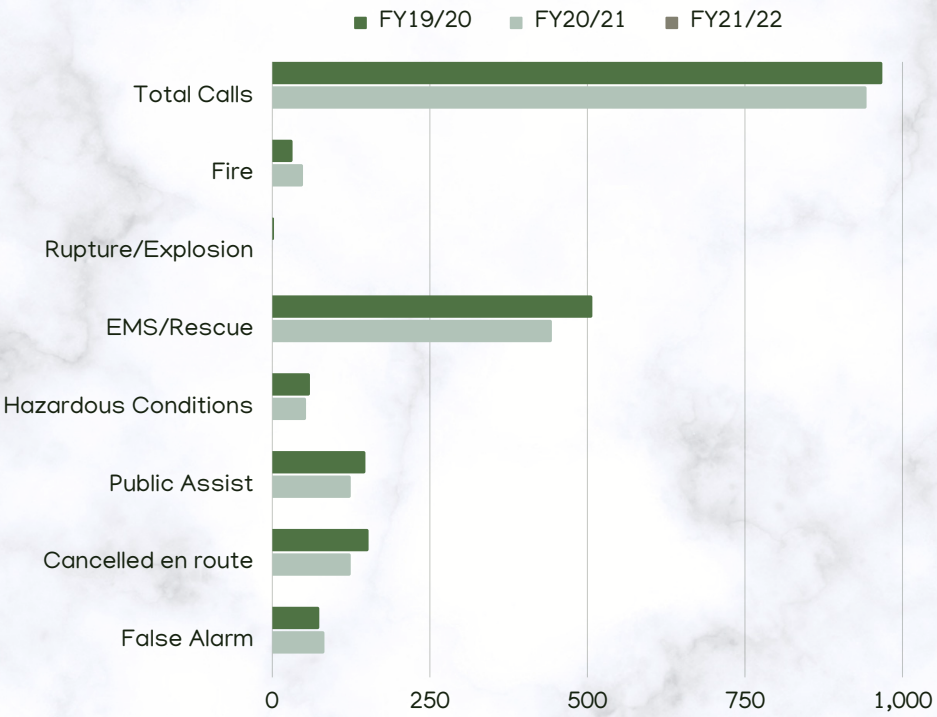
- Hosted a Halloween Community Carving Contest & Pumpkin Stroll for a COVID-19 friendly celebration.
- Hosted the inaugural Halloween Costumed Bike Mask'erade for a COVID-19 friendly costumed bike parade to celebrate Halloween and show off community creativity.
- Celebrated Love Week, which had fun experiences all week long. We also provided a love kit filled with loved-themed activities for all ages.
- Hosted the Barrels of Fun St. Helena Easter Egg Barrel Hunt.
- St. Helena Summer Camps returned in June!
- Aqua Aerobics began May 1st at the St. Helena High School Pool.

Fire (4800)

Budget 2022-23

Purpose

It is the mission of the members of the St. Helena Fire Department to provide efficient and cost effective services, including: fire protection (prevention and suppression); public life safety education; emergency medical and rescue services; respond to natural and man-made disasters; and respond to incidents involving hazardous materials. The Department provides for the safety of the members of the Fire Department and serves the interest of the residents of the City of St. Helena and the surrounding area.



Fire (4800)

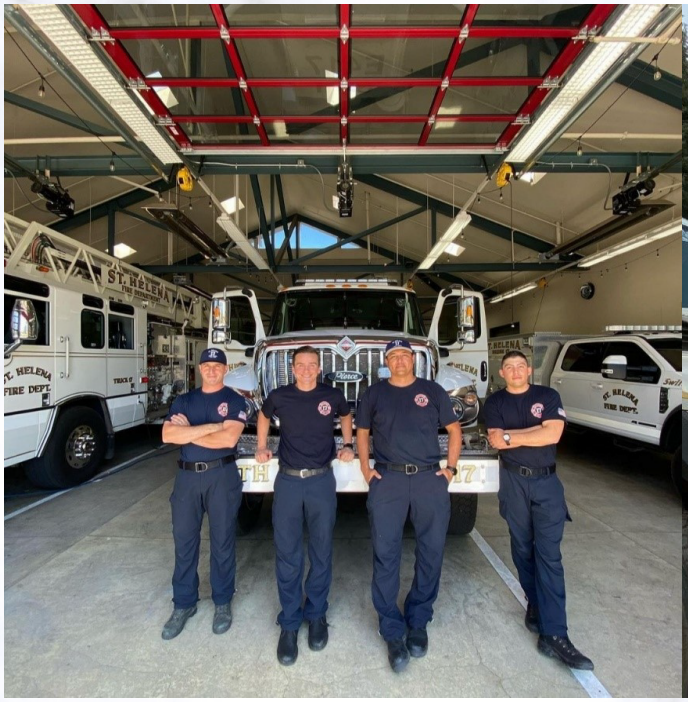
Budget 2022-23

Fire Department Goals

- Paint the Fire Station Exterior
- Put in service new Type 1 Pumper
- Consolidate 3 emergency response software subscriptions into one all-inclusive program
- Maintain highest levels of fire and life safety service to our community
- Captain Nick Solakian – become qualified as a Strike Team Leader
- Chief Sorensen – become qualified as a Safety Officer and Operation Branch Director
- Collaborate with St. Helena Fire Safe Council to ensure community fire safety awareness and responsibility.

Fire Accomplishments

- Recruited 3 more permanent part-time firefighters.
- Tyler Neiburger was promoted to apparatus Engineer.
- Jesus "Eddie" Rios graduated from the Fire Academy.
- In October 2021 we adopted to a traditional 3 person, 24/7 operating schedule. Using a 48 hour shift structure across 3 shifts A, B and C.
- Hired 4 full-time firefighters to operate the new shift structure.
- Ordered new Type 1 pumper from Pierce. Expected delivery in Spring of 2023.
- Chief Sorensen qualified as a Division/Group Supervisor.
- Created PSPS/Wildfire prevention and education pamphlet delivered to all City households to help improve community response during emergencies.
- Weed abatement - a joint effort with Public Works and community cooperation led to the removal of hazardous vegetation city wide to an extent not previously seen.

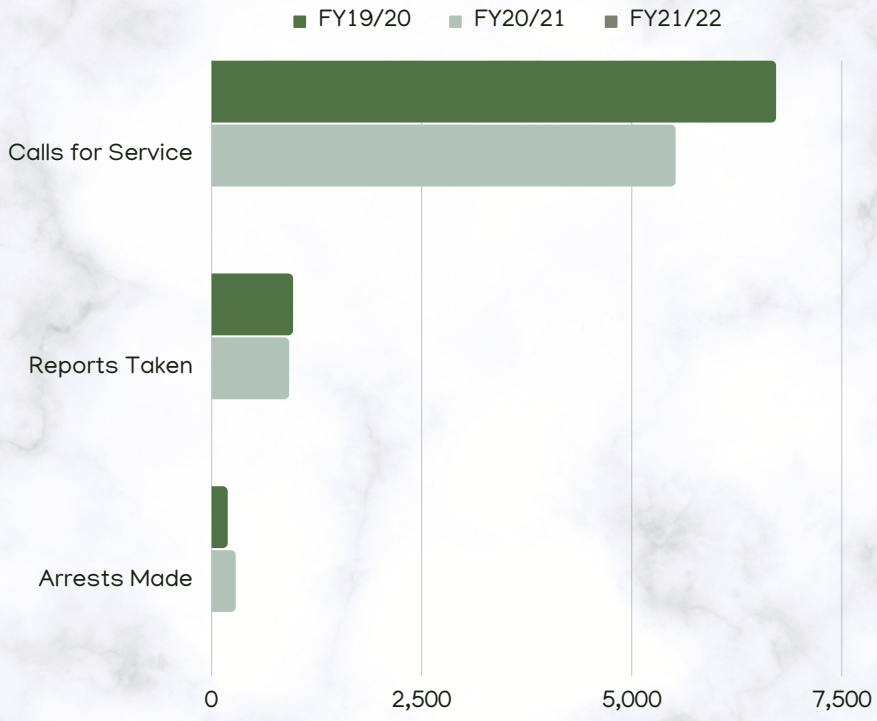


Police (4900)

Budget 2022–23

Purpose

The Police Department is responsible for protection of life and property, the maintenance of order, the control and prevention of crime, and the enforcement of vehicle laws and regulations. The department is to carry out its responsibilities in a prudent and fair manner respecting individual dignity regardless of age, sex, social status, ethnic group, or creed. The Police Department, in its ongoing effort to alleviate crime problems in St. Helena, will be flexible and innovative in attempts to find superior methods of serving the populace.



Police (4900)

Budget 2022-23

Police Department Goals

- Relocate the Police Department from current location to Napa Valley College.
- Solidify radio transmission necessities for new location.
- Complete shooting range repairs for continued all State mandated firearms training.
- Continue annual Police Policy Review and Social Justice, Equity, and Inclusion discussions to ensure the Police Department aligns with City Core Values.
- Implement emergency evacuation plan and procedures (Zonehaven).

Police Accomplishments

- Investigation into a teen suicide resulted in the arrest and conviction of a local narcotics dealer.
- Navigated through the Glass Fire event which included evacuations and repopulation of the City.
- Police Chief completed in depth Glass Fire After Action Report.
- Provided enforcement and education of both Federal and State mandated orders and guidelines during the COVID19 worldwide pandemic.
- Hired one of two Police Officer vacancies.
- Worked through Public Safety Power Shutoff events.
- All officers completed De-escalation and LGBTQ training.
- Conducted Policy review with City Council which resulted in a use of force policy change.
- Engaged in Community dialogue through a Town Hall meeting regarding Social Justice and Social Equality.

Public Works (5000)

Budget 2022-23

Purpose

• (5000) Administration – Department of Public Works (DPW) Administration manages the operating divisions of Public Works and provides the services of the City Engineer, Property Officer, Floodplain Administrator, City Surveyor, Stormwater Program Coordinator, and Water Use Efficiency Office.

• (5006) Government Buildings – The Government Buildings/Grounds Division of the Department of Public Works is funded by the General Fund and its budget accounts for the total costs of managing and providing maintenance (plumbing, electrical, carpentry, lock smith work, etc.) and custodial services to City buildings (approximately 65,000 square feet). The Division is also responsible for managing supply orders and deliveries, inspection and maintenance of oil recycling area, handicapped lifts, e-waste collection and recycling, and fire extinguisher service. This division's budget includes, utilities, janitorial costs, air conditioning/heating repairs, and maintenance services.

• (5013) Storm Drains – The purpose of the Storm Water Division is to operate, maintain and improve drainage and flood control facilities.

• (5015) Streets – The Streets Maintenance/Operation Division is responsible for maintaining City streets in a safe and accessible condition with proper and adequate street signage; striping and painting of curbs; sweeping of all City streets and Main Street sidewalks; routine pavement, sidewalk, and curb repairs; maintenance of traffic structures; street lighting; vegetation removal; and cleanup of spills and discharges.

• (5026) Trees – Tree City USA is a division of the Public Works Department under direct supervision of the Parks Supervisor. This Division is responsible for the maintenance of all trees contained in City owned parks, along Main Street and the 15 Heritage Trees in public rights-of-way. Division activities include the planting of new trees, oversight of major pruning projects, minor pruning, and pesticide applications. The division also conducts inspections for tree permits and City approvals involving tree issues.

• (5027) Parks – The Parks Division of the Public Works Department maintains ten parks, four pathways, street trees, benches, and parking lots. In addition, this Division maintains the landscaping around five government buildings, is responsible for herbicide applications around all City facilities and roadsides (approximately forty acres), and assists the general public with water conservation measures during drought periods. This Division provides maintenance labor for Tree City U.S.A.

• (5037) City Garage – The City Garage Division of the Public Works Department is an internal service fund designed to account for the total costs of maintaining a fleet of 40+ vehicles and other equipment owned by the City. Costs are allocated to the various user departments based on time and materials within those departments. The Division strives to provide timely, efficient, and cost-effective maintenance and repairs on City owned vehicles. The City Garage also records and maintains all fleet maintenance records, specifies repair parts and replacement vehicles, and handles all aspects of fleet management for the City excluding Fire Department vehicles.

Public Works Accomplishments CIP

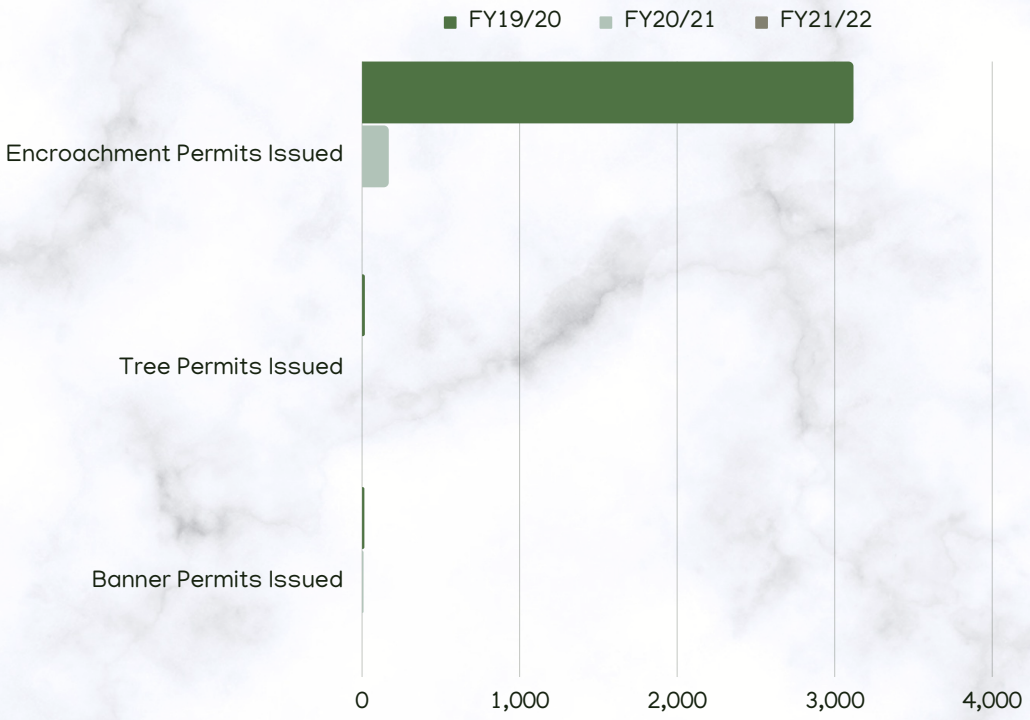
- C19-02 Rehabilitate Crane Park Tennis courts completed
- C20-03 Skatepark Improvements completed
- C20-08 Public Works Corporation Yard Fuel Tank completed
- C-82 Downtown Restrooms completed
- R19-05 Grayson Avenue and South Crane Avenue rehabilitation design in progress
- R20-02 Mills Lane Storm Drain design in progress
- S-52 WWTP Phase 1 Upgrades plans and specs approved
- W-26 Upper York Creek Dam Removal & Ecosystem Restoration project completed

Public Works Accomplishments

- Completed the removal of the legacy Upper York Creek Dam Removal & Ecosystem Restoration Project (CIP W-26).
- Installation of new generators occurred at the City Library, Madrone Knoll Pump Station, Stonebridge Wells site, and the flood project. Automatic transfer switch and docking station installed at Rutherford Pump Station.
- Installation of new Exeloo public restroom at Oak Avenue parking lot near Money Way (CIP C-82).
- Emergency Meadowood Tank Replacement Project, replace three existing water tanks and upgrade water delivery system.
- Development of a Risk and Resilience Assessment (RRA) and an Emergency Response Plan for the City's water distribution system.
- Began Phase I of the City's Active Transportation/Safe Routes to School Plan. Phase II of the project will occur during FY2021/22.
- Crane Park Skatepark improvements included the installation of new LED lights and landscape improvements.
- Provided fire response and recovery from the LNU and Glass Fires.
- Final draft of Integrated Utility Master Plan.

Public Works (5000)

Budget 2022–23



Water (5031,5032,5034)

Budget 2022-23

Purpose

• Water Distribution (5031) – The Water Distribution Division is responsible for the distribution portion of the water system, providing water to users at all times at pressures and quantities required. This Division has one Supervisor, one Lead worker, and two maintenance workers that maintain all water distribution piping and facilities within the system. The Water Distribution Division also performs all meter readings, provides customer service, responds to complaints and requests, performs fire hydrant maintenance, water leak repairs, as well as enforcement of the Cross-Connection control ordinance. Funding for this Division comes from water user fees, and connection fees, or impact fees.

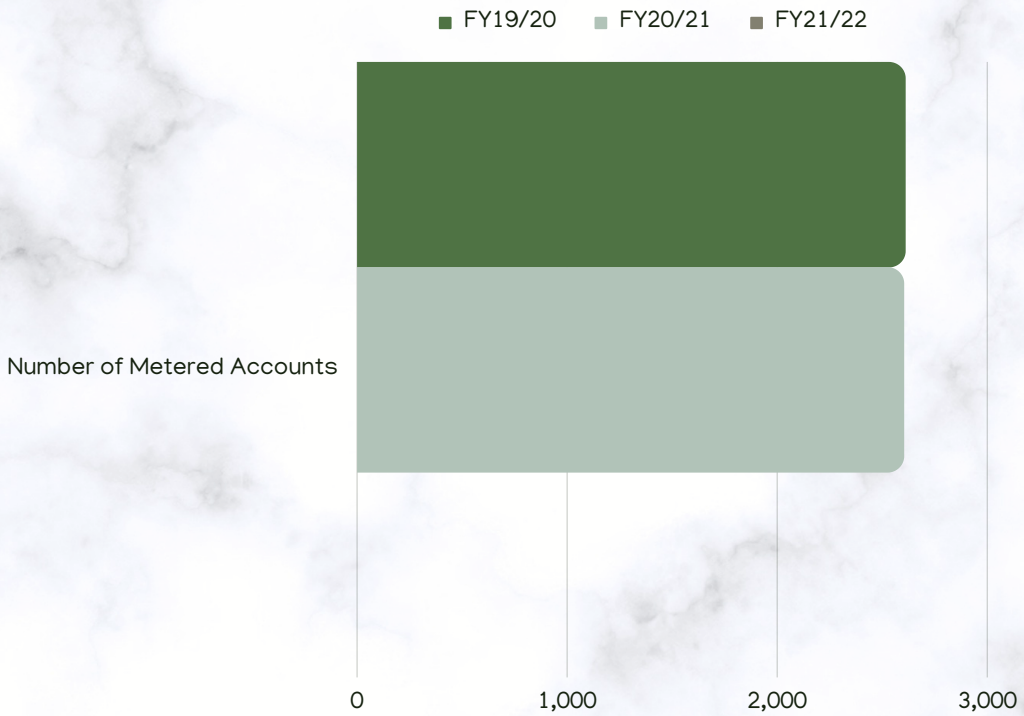
• Stonebridge Wells (5032) – The Stonebridge Wells Division in the Public Works Department is within the Water Enterprise Fund. This Division provides for the operation and maintenance of the two Stonebridge Wells. Groundwater from the two wells normally provides up to 20% of the City's annual water supply. The treatment facilities provide for filtration and chlorination. This Division is staffed by water treatment personnel and costs include utilities, phone line, processing chemicals, and certain capital equipment. Funding is provided by user charges. The FY 2019-20 budget moved all costs associated with the Stonebridge Wells into Water Distribution.

• Water Treatment (5034) – The Water Treatment Division in the Public Works Department is contained within the Water Enterprise Fund. This Division provides water from Bell Canyon Reservoir, the Stonebridge Wells, and outside sources as necessary. It is staffed by three State licensed water treatment operators, two of which are also licensed in wastewater treatment and provide standby operation of the Wastewater Treatment Plant. This Division is responsible for monthly, quarterly, and annual monitoring of all water quality aspects of the system. The treatment plant annually produces more than 500 million gallons of potable water in conformance with State water quality standards.

Funding for this division comes primarily from impact and user fees.

Water Enterprise Fund Accomplishments

- W-26 - Completed the removal of the legacy Upper York Creek Dam Removal & Ecosystem restoration Project.
- Water Treatment Plant Programmable Logic Controllers (PLCs) and Supervisory Control and Data
- Acquisition (SCADA) upgrades project.
- Emergency Meadowood Tank Replacement Project, replace three existing water tanks and upgrade water delivery system.
- Temporary Permag Building project.



Wastewater (5020,5029)

Budget 2022-23

Purpose

• Wastewater Collection (5020) – The Wastewater Collection (Sewer) Division of the Public Works Department operates and maintains the wastewater collection system and related equipment throughout the City. Staffing and equipment for this Division has historically been shared with Streets and Storm Drains. An ongoing maintenance program includes sewer main and lateral lining to reduce root maintenance and infiltration/inflow to the system. The user fees from Sewer Enterprise Fund provide the Division's funding. Capital improvements are described and funded separately.

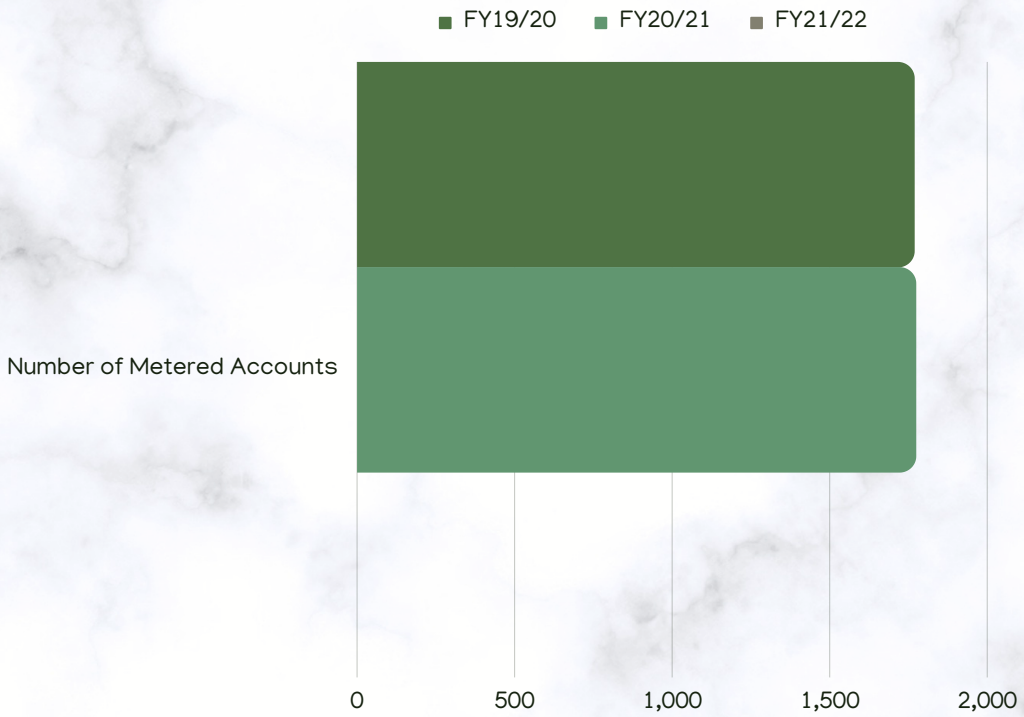
• Wastewater Treatment (5029) – The Wastewater Treatment Plant Division in the Public Works Department is responsible for the treatment and disposition of the City's wastewater. During the dry season, the Wastewater Treatment Plant treats an average of approximately 0.4 million gallons per day (MGD). Peak winter flows exceed 3 MGD. The facility is operated by three State certified wastewater treatment operators with additional staffing from cross-certified Water Treatment Plant personnel. The budget unit is primarily funded by wastewater user fees.

Wastewater (5020,5029)

Budget 2022-23

Wastewater Enterprise Fund Accomplishments

- Submitted presentation to City Council of the Integrated Utility Master Plan Findings and Recommendations
- Plans and specifications were approved for the Wastewater Treatment and Reclamation Plant Phase I Upgrades, CIP Project No. S-52. City will advertise for bids next.
- Main Street Sewer Lateral program, this is part of the R18-81 Downtown Sidewalk Improvements Project.
- A CIP project was approved and created for a Recycled Pipeline and Pump Station project, CIP S21-01.



CITY OF ST. HELENA

ADOPTED OPERATING BUDGET

Fiscal Year 2022/2023

Geoff Ellsworth / *Mayor*
Paul Dohring / *Vice Mayor*
Anna Chouteau / *Council Member*
Eric Hall / *Council Member*
Lester Hardy / *Council Member*

www.cityofsthelena.org | 1572 Railroad Avenue | St. Helena, CA 94574

Introductory Section

GOVERNMENT FINANCE OFFICERS ASSOCIATION

Distinguished Budget Presentation Award

PRESENTED TO

City of St. Helena

California

For the Fiscal Year Beginning

July 1, 2019

Christopher P. Morrill

Executive Director

City of St. Helena, *California*

CITY COUNCIL

Geoff Ellsworth

Mayor

Paul Dohring

Vice Mayor

Anna Chouteau

Council Member

Eric Hall

Council Member

Lester Hardy

Council Member

James McCann – Interim City Manager

Ethan Walsh – City Attorney

Cindy Tzafopoulos – City Clerk

ADMINISTRATIVE TEAM

April Mitts – Assistant City Manager

Mandy Kellogg – Administrative Services Director

John Sorensen – Fire Chief

Chris Kreiden – Library Director

Maya DeRosa – Planning & Building Director

Christopher Hartley – Police Chief

Mark Rincón – Public Works Director/City Engineer

Dave Jahns – Parks & Recreation Director

BOARDS/COMMISSIONS/COMMITTEES

Board of Library Trustees

Parks and Recreation Commission

Planning Commission

Active Transportation & Sustainability Committee

City of St. Helena

"We will conduct city affairs on behalf of our citizens using an open and creative process."

Budget Message

Honorable Mayor and Members of the City Council,

I am pleased to present to you the Proposed Fiscal Year (FY) 2022/23 Operations and Capital Budget for the City of St. Helena. This comprehensive budget for all funds is intended to serve as a policy document, a financial plan, a communications device, and an operations guide. As with the prior year budget, this annual financial plan implements the City Council's goals and strategic priorities for the efficient delivery of community services. Moreover, the City's goals and objectives are aligned with both the City of St. Helena's Vision and Mission.

Budget Overview

Since the unprecedented shut down of its economies due to COVID-19 in March 2020, the City experienced a swift reaction by consumers and businesses resulting in substantial revenue declines for the City of St. Helena. The national and state response, combined with the uncertainty of how long the presence of the virus will disrupt the U.S. economy, has made, and continues to make, revenue forecasting particularly challenging.

With the evolving COVID-19 environment, the formation of the City's adopted FY 2020/21, FY 2021/22, and FY 2022/23 budgets proved to be a difficult and challenging task and staff remained conservative in revenue and expenditure estimates. Departments were asked to present no significant budget increases/requests and any budget increases were accompanied with the rationale for augmentation and association with City Council adopted goals. City Council goals are set through public goal setting workshops which validate long-term strategic goals and affirm staffs' implementation processes for the annual work plan. The work plan is incorporated in the budget priorities and approved dependent upon available resources. The 3-year goals and 12-month objectives and Vision and Mission Statements are included in the Appendix section of the Budget document.

It must be noted and reiterated that while the City has a balanced financial position now, the future has a lot of significant infrastructure and staffing demands as well as a looming recession and will require a conservative and strong strategic plan and approach to solve projected deficits and significant budget demands. The groundwork for such a plan has already started by Council recognizing the need to establish and maintain safe and reliable infrastructure with a commitment to environmental stewardship and public health (Goal 1) and ensure long-term economic sustainability while supporting St. Helena's charm & rural character (Goal 2). While

representing only two of the six City Council goals, they are an integral part in working in conjunction with the other four goals.

There are tremendous capital needs and limited/insufficient funding and staffing available to immediately meet these needs. The City Council, staff, and the community are aware of the challenges ahead and recognize project management and delivery must be realistic, deliberate, and focused - the refined (and much more practical and realistic) FY 2023-27 five-year CIP is an example of more strategic thinking and planning to deliver results (and projects).

There are exciting initiatives and opportunities on the horizon that will improve the City's long-term financial position and will help achieve City Council goals. Opportunities such as:

1. Measure H - This measure allows the City to issue $19 million in General Obligation Bonds which allow critical water, wastewater, recycled water, and stormdrain projects to move forward in an accelerated timeframe and reduce the burden on the General Fund.
2. LMR Development (Farmstead Hotel). The Farmstead Hotel is moving forward and when opened, is anticipated to increase the City's revenues by approximately $1 million in its first full year of operation and approximately $2.2 million annually over time. Additionally, as part of the project and development agreement, Farmstead will build important stormdrain and street improvements through a cost-share with the City.
3. The relocation of City Hall and Police Department to the Napa Valley College site, opens the opportunity to sell 1480 Main Street and 1572 Railroad Avenue for socially and economically beneficial purposes.
4. Utility Rate Study is currently underway, once completed (anticipated in Spring 2023), the rates put into place will stabilize both the water and wastewater funds while allowing critical projects to move forward.
5. Long Range Financial Plan (LRFP) development will continue in FY 23 to explore potential new revenues from a variety of sources. Development of this plan will allow the City to develop a strategic plan to address the infrastructure and staffing needs to accomplish these needs.
6. Development and Redevelopment potential. Opportunities for suitable new development or redevelopment of existing obsolete properties are abundant and will benefit from City Council and community dialog and agreement in conjunction with the formation of the LRFP.

Below provides a brief summary of the formation of the FY 2022/23 Budget document.

FY 2022/23 Budget Development

During budget development staff was guided by the following considerations:

- Alignment with City Council Goals:
- Alignment with City Council Workplan
- Conservative Revenue Assumptions

- Health Care Cost Increases
- Change to Labor Costs
- Restoration of Positions/New Positions
- Increase to PERS Unfunded Liability
- One-time vs. reoccurring costs

April 5, 2022 - Staff presented a General Fund preliminary budget forecast to the City Council. The presentation focused on the General Fund and included an update to FY 2021/22 revenue and expense forecast as well as the preliminary FY 2022/23 revenue and expense estimates. This report highlighted that revenues for FY 2021/22 were higher than anticipated allowing for a higher than expected unreserved cash balance. It was noted the higher than anticipated revenues included: $1.1 million in emergency relief received from the Glass Fire, $730,000 in one-time COVID related stimulus funds, and non-budgeted ERAF funding of $443,000.

Despite higher than anticipated revenues in the current year, early estimates for FY 2022/23 General Fund revenues and expenses indicated a revenue shortfall of $1.1 million. The following is a link to the presentation: April 5, 2022 Preliminary Budget Forecast.

Following the April 5, 2022 preliminary report, staff continued to work to further refine revenues based on updated information as well as worked to reduce department spending in order to provide a balanced budget.

May 17, 2022 - Budget Workshop #1 was held were staff presented the FY 2022/23 Non-Profit Grant applications for consideration.

City staff received 20 applications requesting funding. Per the Non-Profit Grant Policy, applications were reviewed for completeness and all applications were presented for funding recommendations.

At this meeting, the City Council working group recommended and City Council approved a total of $225,085 in funding for the FY 2022/23 Non-Profit grant cycle.

The following is a link to the Special Workshop: May 17, 2022, Budget Workshop #1 - Non-Profit Funding

May 31, 2022 - Budget Workshop #2 was held which included:

- The Long-Range Financial Forecast
- A review of the Five-Year Capital Improvement program for Fiscal years 2022-23 to 2026-27
- A review of the draft FY 2022/23 budget including the General Fund, Water Fund, and Wastewater Fund

Each of these items are described in more detail below and the following is a link to the Budget Workshop: May 31, 2022 Special Budget Workshop Study Session

Long Range Financial Forecast

The Long-Range Financial Forecast (LRFF) provides a current and long-range financial assessment of revenues, expenditures, fund balance, and emergency reserves. The primary objective is to provide the City Council and the community with a financial forecast and identify any significant issues that may need to be addressed in the annual budget development process. The LRFF is a vehicle that peers into the future and makes projections about what is likely to happen given certain assumptions.

*Since the time the LRFF was presented, the GO Bond presented to voters on June 7, 2022, has passed allowing for $19.5 million in GO Bonds to be issued, of which $11 million is dedicated to storm drain improvements/repairs. Election results will be certified in July 2022.

Five-Year Capital Improvement Program for Fiscal years 2022/23 to 2026/27

The purpose of the City of St. Helena Capital Improvement Program (CIP) is a five-year planning tool that identifies anticipated capital improvements and their funding sources for Fiscal Years 2022/23 through 2026/27.

It was noted at this meeting that, throughout the years, many of the projects on the CIP list had been "rolled over" without updates to costs or project scope. Staff made significant revisions to the FY 2022/23 to 2026/27 CIP project list as noted in the May staff report.

Additionally, staff created a 30-year list of all known CIP projects compiled from reports from studies which took place from 2017 to present.

FY 2022/23 Draft Budget

GENERAL FUND

Following the April 5, 2022 and May Budget discussions, staff further refined both revenues and expenses. Based on the revised revenues and expenses, staff recommended at the May 31st meeting the use of General Fund cash balance of approximately $100,000 and indicated, with the use of fund balance, estimated unrestricted fund balance at 6/30/23 of $10,310,582, or 59%, which exceeds the City Council policy of 30% reserves.

WATER AND WASTEWATER FUNDS

Unlike the General Fund, the Enterprise Funds (Water and Wastewater Funds), operate on a full accrual basis of accounting, where revenues are recognized when they are earned.

Due to several unknowns, including the ongoing water emergency and impact on revenues, it remained necessary for the City to remain extremely fiscally cautious in the development of the FY 2022-23 budget. Like the General Fund budget instructions, departments were

asked to keep the majority of the expenses status quo and asked to present no significant increase requests.

Staff presented balanced Water and Wastewater budgets at this meeting with minor changes from the previous fiscal year.

June 14, 2022 - The City Council adopted the Five-Year Capital Improvement Program for FY 2022/23 to 2026/27.

The following is a link to the staff report: June 14, 2022, Adoption of the 5-year CIP

June 28, 2022 – The City Council adopted the FY 2022/23 Budget
The FY 2022/23 Proposed Budget was presented to City Council for adoption on June 28, 2022. The proposed General Fund budget was updated from the May 31, 2022, budget workshop and included additional recommendations for use of unrestricted General Fund balance primarily for one-time costs. There were no material changes to the Water Fund and Wastewater Fund budgets presented on May 31, 2022. The budget document presented provided detailed projected revenues expenditures for each department and fund.

Table 1, Table 2, and Table 3 provide a summary of revenues, expenses, and estimated fund balance for the General Fund, Water Fund, and Wastewater Fund.

The City Council unanimously adopted the budget on June 28, 2022 via Resolution No. 2022-71.

The following is a link to the staff report: June 28, 2022 FY 2022/23 Budget Adoption.

Table 1: FY 2022/23 General Fund Estimated Fund Balance

Estimated Ending Fund Balance @ 6/30/2022		$10,415,771	Fund Balance %
Estimated Revenue @ 6/30/2023	$17,286,421		
Estimated Expenses @ 6/30/2023	($18,650,360)		
Use of Fund Balance	($1,363,939)		
Estimated Fund Balance/Net Position		$9,051,832	49%
WWTP Contingency - if needed (Interfund Loan)	($2,000,000)		
Estimated Fund Balance @ 6/30/2023		$7,051,832	34%

Table 2: 2022/23 Water Fund Estimated Fund Balance

Estimated Ending Fund Balance @ 6/30/2022		$3,203,345	Fund Balance %
Estimated Revenue @ 6/30/2023	$6,625,840		
Estimated Expenses @ 6/30/2023	($6,625,840)		
Estimated Fund Balance @ 6/30/2023		$3,203,345	48%

Table 3: Draft Wastewater Estimated Fund Balance

Estimated Ending Fund Balance @ 6/30/2022		$3,771,200	Fund Balance %
Estimated Revenue @ 6/30/2023	$3,385,563		
Estimated Expenses @ 6/30/2023	($3,385,563)		
Estimated Fund Balance @ 6/30/2023*		$3,771,200	112%

***** Balance includes approximately $2.95 million to be transferred to Wastewater CIP for the completion of CIP S-52 – Wastewater treatment plant upgrades.

Economic Outlook

The COVID-19 pandemic sent shock waves through the economy and trigged the most severe economic recession in nearly a century and has caused damage to people's health, jobs, and well-being. The lockdown measures enacted succeeded in slowing the spread of the virus and in reducing the death toll but resulted in frozen business activity in many sectors which continues to lead to uncertainty in the future. As restrictions are now mostly removed, the path to economic recovery remains highly volatile and the City forecasts a recovery to pre-recession numbers in FY 2022/23.

Additionally, there are many financial unknowns associated with the Russia-Ukraine war. A March 2022 article in the Sacramento Bee lists a set of, "what could happen to California in a lengthy Russia-Ukraine war." Included in the article are things such as: increase costs for gasoline, oil, and natural gas; the shrinking of retirement accounts; and the possibility that the California economy will grow at a sluggish pace, if it grows at all. The article also notes that while there are other factors expected to boost the economy, the war may upend the optimistic outlook. (https://www.sacbee.com/news/california/article260734697.html).

While it is not clear what the full impact on the local economy will come from rising prices and the Ukraine conflict, the six-county region located in the North Bay (including Napa County) is doing better at getting back on its feet post-pandemic than the rest of California. At the North Bay Business Journal's 29th annual Economic Outlook Conference held in March 2022, Dr. Robert Eyler, Interim Associate Vice President, Professor Economics at Sonoma State University said it took 78 months for the U.S. to get back the jobs it lost in the Great Recession starting in 2007, but the nation, as of December 2021, had recovered 99% of positions lost in the coronavirus pandemic. This recovery is in just less than one-third the time. He further stated California had nearly 96% of the pre-pandemic jobs back by the end of last year – less than two years, as compared with the Great Recession – and is projected to return to pre-COVID levels by summer 2022.

According to Eyler, Sonoma and Napa counties, where hospitality industry ranks are the top employers, benefited by shifting tourism marketing early last year to attract back travelers from the Bay Area and Northern California who could not yet travel internationally. In part this is what helped Wine Country to more quickly overcome double-digit percentage losses in jobs over the pandemic; however, lingering losses in statewide jobs in hospitality, leisure, and other services is

a problem for California, because these positions are typically filled by low-income and young workers. Eyler states, "if those jobs don't come back, we will have a hole in our economy for many years to come."

Eyler further indicates that the short-term impacts from the Russia-Ukraine conflict could decrease global travel to Europe and travelers may opt for California Wine Country destinations.

On the housing front, North Bay counties have experienced jumps in sale prices over the pandemic, as buyers sought properties farther away from urban areas. According to Zillow Research figures, in the past two years, prices grew 39% in Lake County, about 33% each in Solano and Mendocino counties, 28% in Marin, 26% in Napa, 19% in Sonoma.

"Those were not historic highs, but they came after years of recession," Eyler said. "It's been an amazing 24 months in housing" and, over the next 12 months, the projection for housing prices is double-digit growth in these counties.

But Eyler warned that net losses in population for the North Bay may give developers pause when considering housing projects in the region.

While the report given by Eyler in March 2022 indicated there are some bright spots in the economic forecast, a tepid stock market, soaring inflation, and rising interest rates have left many less than optimistic about the state of the economy. As noted in a CNN Business article on June 28, 2022, earlier in June, the consumer price index jumped to its highest level in 40 years and not the Fed is raising interest rates at an aggressive pace as it looks to slow down economic activity. As of now, we are not in a recession, but signs of an economic downturn are cropping up all over.

As noted earlier in the Budget Message, there are real economic uncertainties. It must be noted and reiterated that while the City has a balanced financial position now, the future has a lot of significant infrastructure and staffing demands as well as a looming recession and will continue to require a conservative and strong strategic plan and approach to solve projected deficits and significant budget demands.

Acknowledgements

Preparing the City's annual financial plan is a shared effort involving community residents, the time and talents of City employees, and City Council leadership who play a critical role in establishing and prioritizing organizational goals and objectives.

As in previous years, the FY 2022/23 budget was an exercise in discipline by both the City Council and staff. During the past year both good direction and policy establishment by the City Council laid the groundwork for this budget document. While difficult, prudent financial actions at the beginning of COVID have allowed the City to maintain a healthy General Fund balance. The sacrifices by staff, Council, and the residents of St. Helena have been significant and meaningful. Concessions by staff in FY 2020/21, freezing of positions, and cautious financial planning allowed

the City to emerge in a positive financial condition. It is important to note that in the development of the FY 2020/21 budget, all bargaining groups in St. Helena agreed to two-year contracts which expire June 30, 2022. The City is currently in negotiations and anticipates salary increases for City staff.

Finally, I want to express my sincere gratitude to the following: City Council for their leadership, policy direction, and support in the budgeting process; Interim City Manager Jim McCann for his guidance over the past few months; City department heads for their patience and understanding when tough cuts had to be made; and a HUGE thank you to Administrative Services Director Mandy Kellogg for the hard work and insane amount of hours it took in the formation of this document.

Respectfully submitted,

Dr. April Mitts
Assistant City Manager

The purpose of the City of St. Helena's budget is to serve as a "blueprint" for providing City services and as a working financial plan for the fiscal year. It also represents the official organization plan by which City policies, priorities, and programs are implemented. It provides a means to communicate to the residents, businesses, and employees how the City's financial resources are used to provide services to the community. The budget includes both the operating costs to manage the City and the Capital Improvement Projects (CIP) that the City plans to undertake during the next five fiscal years.

A BRIEF OVERVIEW

Location

The City of St. Helena is located in the center of heart of the Napa Valley, 65 miles north of San Francisco. St. Helena is bisected by the Sulphur and York Creeks that are year-round tributaries of the Napa River, which lies along the eastern border of the City. St. Helena is also bounded to the wet and east by the Howell and Mayacamas Mountains, respectively. St. Helena serves as the regional economic and social anchor for the nearby unincorporated communities of Angwin and Deer Park as well as a commercial development near the intersection of Zinfandel Lane and State Highway 29.

History

The community of St. Helena began developing into a commercial center for nearby farmers and ranchers in the 1830s as a result of a land grant from Mexico to General Mariano Vallejo. By the 1860s, the Napa Valley Railroad Company, precursor to future branches of the Central Pacific Railroad and Southern Pacific Railroad Companies, was extended north from Napa to include stops in Yountville, Oakville, Rutherford, and St. Helena. The arrival of the railroad coincided with the expansion of St. Helena's commercial base as nearby vineyards began to flourish leading to the creation of a business district along Main Street.

St. Helena's emergence as a commercial center in the Napa Valley led to its incorporation as a City on March 24, 1876 and reincorporated on May 14, 1889. St. Helena's incorporation was the first in Napa County and helped facilitate continued commercial and residential growth in the City over the next several decades.

Growth and development in St. Helena became stagnant beginning in the 1920s following the enactment of Prohibition. In 1930, the United States Census estimated St. Helena' population at 1,582. St. Helena's population grew modestly over the next few decades reaching 3,193 by 1970. It was between 1970 and 1980 when St. Helena experienced its most significant period of growth as its population increased by over half to 4,898 by 1980. According to United States Census Bureau reports, the population is estimated to be 6,105.

The City from its inception has served as a rural agricultural center and, over the years, has become an important business center for the wine industry. As a result of the thriving wine industry, and the area's scenic qualities, the City receives many visitors each year. The City strives

embrace and maintain its historic, small-town character, beautiful national environment, and high quality of life.

Demographics

According to the U.S. Census Bureau, the City of St. Helena has an estimated population of 5,386 people and covers approximately 5 square miles. St. Helena is 75.1% White alone, 20.6% Hispanic or Latino, 1.3% Black or African American, 2.1% Asian, and 2.1% Two or More Races. The median home price in St. Helena is $1.3 with 67.6% of housing being owner occupied. The net taxable property value for the FY 2020-2021 assessment period was $6.96 billion, representing an 5% increase over the previous year.

Local Economy

The City's local economy is primarily driven by the wine industry and, in Napa County, the hospitality industry ranks as the top employer. As the economy continues to recover from the COVID-19 pandemic, Napa County currently benefited by shifting tourism marketing early in 2021 to attract back travelers from the Bay Area and California who could not yet travel internationally. In part, this is what helped Wine Country to more quickly overcome double-digit percentage losses in jobs over the pandemic. According to the U.S. Bureau of Labor Statistics, Napa County had an unemployment rate of 2.7% in April 2022, as compared to a 6.3% unemployment rate the previous year (April 2021). Comparatively, California has an unemployment rate of 4.6%, and 3.6% for the nation for the same period.

St. Helena's largest sales tax drivers are Property Tax, Sales Tax, and Transient Occupancy Tax (TOT) which typically accounts for 79% of all General Fund revenues. The top ten principal property tax payers are: Treasury Wine Estates, Spring Mountain Hotel LLC, Sutter Home, Palmer City-Core, C. Mondavi and Sons, Realty Income Properties, Schoendorf, Joseph & Nancy, Castellucci, Antonio and Rita (2 properties), and Safeway.

Sales tax receipts are divided into 6 categories and noted below.

<u>General Retail</u>
Clothing
Furniture
Appliances
Drug Store
Florist
Misc. Retail

<u>Miscellaneous</u>
Health
Government

<u>Food Products</u>
Restaurants
Food Markets
Liquor Stores
Wineries
Tasting Rooms

<u>Transportation</u>
Auto Parts
Auto Sales
Service Stations

<u>Construction</u>
Bldg. Materials

<u>Business to Business</u>
Office Equipment
Business Services
Chemical Products
Heavy/Light Industry
Leasing

Historically Food Products has been the driver for sales tax followed by General Retail, Construction, Transportation, Business to Business, and Miscellaneous. The top 25 sales tax

generators as of June 30, 2021 (in alphabetical order) are:

Abreu Vineyards
Acme Fine Wines
Azteca Market
Caldwell-Snyder
Central Valley Builders Supply
Charles Krug Winery
Farmstead
Gott's Roadside
Harlan Estate Winery
Harold Smith and Son
Martin Design
Merryvale Vineyards
Napa Valley Agriculture Supply
Napa Valley Petroleum
One True Vine
Parriott Motors Honda
Safeway Stores
Spottswoode Winery
Steve's Hardware
Sunshine Foods
The Charter Oak Restaurant
Tra Vigne
Treasury Wine Estates Americas
Union 76 Service Stations
Zumwalt Ford

FORM OF GOVERNMENT

The City is a General Law city and operates under the Council-Manager form of government. Decision-making authority under this system is equally distributed among a five-member City Council that includes a directly elected mayor. Elections are conducted by general vote; the Mayor serves a two-year term while the four Council Members serve staggered four-year terms. Key duties of the City Council include making policies, adopting an annual budget, enacting ordinances, appointing committee members, and hiring the City Manager.

The St. Helena City Council meetings are conducted on the second and fourth Tuesdays of each month beginning at 6:00 p.m. and are typically held in the Vintage Hall Board Room at the St. Helena High School, located at 465 Main Street. However, due to COVID-19 all meetings have been held virtually since March 2020 via Zoom. Whether in person or via Zoom, meetings are open to the public and are also broadcast on local public access television. Council agendas and minutes are posted at City Hall, 1572 Railroad Avenue, and are made available on the City's website, www.cityofsthelena.org.

BUDGET ORGANIZATION

As indicated in the Table of Contents, the City of St. Helena's budget document consists of several sections. A corresponding title page divides each section.

Introductory Section

City Council, Administrative Team, and Boards/Commissions/Committees provides a summary of the City Council members executive staff, and lists the various Boards, Commissions, and Committees in St. Helena.

The City Manager's Budget Message to the City Council highlights key priorities and issues for the upcoming budget year as well as provides an overview of significant budgetary items and trends for the City as a whole.

Budget Adoption Resolution provides a copy of the budget resolution adopting the FY 2019-20 Operations Budget.

The Reader's Guide to the Budget provides the reader with a brief overview and introduction to the City of St. Helena as well as an explanation on how to understand, read, and use this Budget document.

Fund Balance Summary provides an easy-to-read overview of the City's expenditures/expenses and revenues for each of the City's funds.

Schedule of Transfers provides a summary of all transfers authorized in the adopted budget by fund.

Description of Revenue Sources provides five-year historical trends for the General Fund and Enterprise Funds.

Allocation of City Positions provides a summary of staffing positions by department.

Organization Chart provides a summary of the organization of the City as a whole.

General Fund provides an overview of General Fund revenues and expenditures, five-year historical data for each General Fund funding source, General Fund expenditure summary by department, and a summary of the net position for the General Fund.

Administrative Departments provides details on the City Council, City Administration (City Manager and City Clerk), Administrative Services (Finance, Human Resources, and Information Technology), Attorney, Planning, and Non-Departmental budgets.

Community Services provides details on the Library and Parks & Recreation budgets.

Public Safety provides details on the Fire and Police budgets.

Public Works provides details on the Public Works Administration, Government Buildings, Storm Drains, Streets, Trees, Parks, and City Garage budgets.

Water Fund provides details on the Water Distribution and Water Treatment budgets.

Wastewater Fund provides details on the Wastewater Collection and Wastewater Treatment budgets.

Capital Improvement Plan (CIP) provides a summary of the City Council adopted 5-year CIP. The CIP functions as a budgeting and planning tool which supports actual appropriates that are made through the budget adoption process. The City's FY 2022-23 CIP consists of 29 projects in five divisions totaling approximately $32.5 million. Over half of the total CIP budget is for the Wastewater Treatment Plant Upgrade Project (CIP S-52) which is estimated to be substantially completed by August 2023.

Other Funds provides a summary of the debt service funds, permanent funds, and special revenue funds.

Appendix provides supplementary information including City Financial Policies, City Council Goals and Work Plan, City's Vision and Mission Statements, a summary of Budget increases from the prior fiscal year and their relation to City Council Goals, and the City's "add back" is for City Council prioritization if additional General Fund resources become available.

BUDGET IMPLEMENTATION, TRANSFERS, AND CONTROL

Upon adoption of the budget by the City Council, the responsibility of implementing each department's budget lies with each Department Head, with oversight by the Director of Finance and ultimate responsibility resting with the City Manager. Department Heads are expected to operate their departments within the appropriations established in the budget.

This budget is arranged by department, fund, and function. The level of budgetary control is established at the fund level. Department Heads may authorize the transfer of appropriations within a department, except transfers: (1) that would purport an increase in the number of regular personnel, and (2) that would decrease appropriations for capital outlay. The City Manager may transfer appropriations between departments so long as total appropriations are not increased within a fund. The City Council has the overriding authority to control the use of revenues and the appropriations of funds and therefor may modify this policy at any time. The total appropriations in any fund may not be increase except by the City Council.

All changes in appropriations will be authorized on a "Budget Adjustment Form" and all increases in appropriations will be authorized by Council. Any expenditure must be made in accordance with Title 3, Chapter 3.04 of the St. Helena Municipal Code.

The budget is reviewed and presented to City Council on a quarterly basis with a more extensive mid-year budget review. During the quarterly budget review by City Council, consideration is given to necessary adjustments for new programs, projects, and other adjustments to ensure that expenditures and revenues are in line with the budgeted projections.

A carefully designed system of internal accounting and budgetary controls is used to ensure that revenues and expenditures/expenses are tracked and used as intended. These controls are designed to provide reasonable, but not necessarily absolute, assurance with respect to the reliability of financial and budgetary records for use in the preparation of financial statements, as well as accountability for all City assets. At the end of each fiscal year-end, all operating budget appropriations lapse. City Council adopted finance policies can be accessed at: https://www.cityofsthelena.org/bc-citycouncil/page/council-adopted-policies.

BUDGETARY BASIS OF ACCOUNTING

The City of St. Helena's annual operating budget is prepared in conformity with Generally Accepted Accounting Principles (GAAP), using the modified accrual basis of accounting. Under this method of accounting, revenues are recognized in the accounting period in which they become measurable and available to finance expenditures of the current fiscal period, while expenditures are recognized in the accounting period in which the liability is incurred. Budgets for proprietary funds are prepared on a full accrual basis where revenues are recognized when earned, and expenses are recognized when they are incurred. Each of the City's funds is considered a separate accounting entity with a self-balancing set of accounts that records assets, liabilities, fund equity, revenue, and expenditures/expenses. Funds are established and segregated for the purpose of recording specific programs or attaining certain objectives in accordance with special regulations, restrictions, or limitations. The General Fund accounts for all the general revenue of the City not specifically levied or collected for other City funds and for expenditures related to rendering the general services provided by the City. Special Revenue Funds are used to account for specific revenues that are legally restricted to expenditures for a particular purpose. The Capital Improvement Project Funds are used to account for the acquisition or construction and improvement of major capital projects. Internal Service Funds (Garage Fund) are used to account for the financing of services provided by one department to other departments of the government, on a cost reimbursement basis. Enterprise Funds (Water and Wastewater) are used to account for revenues and expenses related specifically to those enterprises. The budget is prepared on a line item basis by department and fund.

FINANCIAL REPORTS – Top 4

Comprehensive Annual Financial Report: The Comprehensive Annual Financial Report is a detailed report that covers the financial statements for the City prepared by an independent auditor in accordance with Generally Accepted Accounting Principles (GAAP) as promulgated by the Government Accounting Standards Board (GASB). The CAFR utilizes the same basis of accounting, modified accrual for the General Funds and full accrual for proprietary funds, as the annual budgeting document. The Comprehensive Annual Financial Report consists of three sections: Introductory, Financial, and Statistical. The Introductory section orients and guides the

reader through the report. The Financial section presents the City's basic financial statements as well as notes to the statements and the independent auditor's report. The Statistical section provides additional financial and statistical data, including data about financial trends that may better inform the reader about the City's activities. The City received the prestigious "Certificate of Achievement for Excellence in Financial Reporting" award presented by GFOA for the FY 2018-19 Comprehensive Annual Financial Report.

Long Range Financial Forecast (LRFF): The LRFF is prepared annually and provides a current and long-range financial assessment of revenues, expenditures, fund balance, and emergency reserves. The primary objective is to provide the City Council and the community with a financial forecast and identify any significant issues that may need to be addressed in the annual budget development process.

Popular Annual Financial Report (PAFR): The PAFR extracts information from the CAFR to produce a high-quality report specifically designed to be readily accessible and easily understandable to the general public and other parties without a background in public finance. The City received the "Award for Outstanding Achievement in Popular Annual Financial Reporting" presented by GFOA for the FY 2018-19 Comprehensive Annual Financial Report.

Three-Year Goals and Work Plan: The City's three-year goals and work plan is a detailed planning document developed as a blueprint for the City's future. The plan defines the City Council's goals and defines a specific work plan to achieve each goal. The goals and work plan are updated and published periodically.

All financial reports can be found on the City's website at:
https://www.cityofsthelena.org/finance/page/financial-reports.

GLOSSARY OF COMMON BUDGET AND FINANCIAL TERMS

ACCOUNT	Financial reporting unit for budget, management, or accounting purposes.
ACCOUNTS PAYABLE	The amounts owed to others for goods and services received.
ACCOUNTS RECEIVABLE	Amounts due from others for goods furnished and services received.
ACCRUAL BASIS	The basis whereby transactions and events are recognized when they occur, regardless of when cash is received or paid.
ACTUAL PRIOR YEAR	Actual amounts for the fiscal year preceding the current fiscal year which precedes the budget fiscal year.
ALLOCATION	Component of an appropriation earmarking expenditures for a specific purpose and/or level of organization.
ALLOTMENT	That portion of an appropriation which may be encumbered to spent during a specified period.
AMORITIZATION	Payment of a debt by regular intervals over a specific period of time.
APPROPRIATIONS	An authorization by a legislative body (e.g. City Council) that provides legal permission to make expenditures and incur obligations for specific purposes.[1]
ASSET	Resources owned or held by a government which have monetary value.
ASSESSED VALUATION	Official government value placed upon real estate or other property as a basis for levying taxes.
BOND	A written promise to pay a specific amount of money at a specific date in the future together with a periodic interest as a special rate. Two types are used: General Obligation and Revenue.
BOND INDEBTEDNESS	Outstanding debt by issues of bonds which is repaid by ad valorem or other revenue.
BUDGET AMENDMENT	A procedure authorized by some City Councils that allows Department Heads to make adjustments to expenditures within their own department and allow the City Manager to make adjustments to expenditures within or between departmental budgets by revising budget appropriations. **Note:** City Council approval is always required for additional appropriations from a fund balance or new revenues sources.

[1] "Appropriations subject to limitation," for purposes of each agency's Gann limit, means "any authorization to expend during a fiscal years the proceeds of taxes levied by or for that agency and the proceeds of state subventions to that agency." Cal. Const. Art. XIIIB, section 8(b).

BUDGET DEFICIT	Amount by which the government's budget outlays exceed its budget receipts for a given period, usually a fiscal year.
CAPITAL EXPENDITURE	The amounts spent for assets that will be used for more than one year. See CAPITAL IMPROVEMENT PROGRAM AND CAPITALIZATION THRESHOLD.
CAPITAL IMPROVEMENT PROGRAM	Annual appropriations in a City's budget for capital improvement projects such as street or park improvements, building construction, and various kinds of major facility maintenance. Capital improvement projects are often multi-year projects that require funding beyond the one-year periods of the annual budget.
CAPITALIZATION THRESHOLD	The dollar value at which government elects to capitalize tangible or intangible assets that are used in operations and that have initial useful lives extending beyond a single reporting period.
DEBT SERVICE	The payment of principal and interest on borrowed funds such as bonds.
DEBT SERVICE FUND	A fund established to account for the accumulation of resources for, and the payment of, general long-term debt principal and interest. Sometimes a debt service fund is referred to as a sinking fund. Debt financing is most commonly used to address temporary short-term cash flow problems and to provide funding for improvements with long lives. Borrowing long-term for operational or short-term capital needs is not advised.[2]
ENCUMBRANCE	Prior to actual spending, an obligation charged against a budget indicating that a commitment has been made or an order placed for goods and services not yet received or paid for. After an encumbrance has been made, the money is not then available for other transactions.
EQUITY FUNDING	Funding is accomplished with available resources, and does not include leveraged resources. Project funding is dictated by the availability of cash.
EXPENDITURE	A decrease in net financial resources. Expenditures include current operating expenses that require the current or future use of net current assets, debt service and capital outlays.
EXPENSE	A decrease in net total assets. Expenses represent the total cost of operations during a period regardless of the timing of related expenditures.
FIDUCIARY FUNDS	Trust and Agency funds.

[2] Be aware that Article XVI, section 18 of the California Constitution prohibits a City from borrowing more money than it can repay in a single fiscal year from its general fund without a two-thirds vote of the electorate. Common exceptions to this borrowing restriction are the special fund doctrine; and the lease purchase agreement.

FISCAL POLICY	A government's policies with respect to revenues, spending, and debt management as these relate to government services, programs, and capital investment. Fiscal Policy provides an agreed-upon set of principles for the planning and programming of government budgets and their funding.
FISCAL YEAR	The 12-month period used by the City of St. Helena begins with July 1, and ends with June 30 of the designated fiscal year (i.e., FY 2019-20 ends on June 30, 2020).
FIXED ASSETS	Assets of long-term character which are intended to be held or used for more than one fiscal year. Examples are land, buildings, machinery, and furniture.
FORCE ACCOUNT	Construction of maintenance activities performed by the City's own personnel, rather than by outside labor.
FULL-TIME EQUIVALENT (FTE)	Number of positions calculated on the basis that one FTE equates to a 40-hour workweek for twelve months. For example, two part-time positions working 20 hours for twelve months also equals one FTE.
FUNCTION	Group of related programs crossing organizational (departmental) boundaries and aimed at accomplishing a broad goal or major service.
FUND	A fiscal and accounting entity with a self-balancing set of accounts in which cash and other financial resources, all related liabilities or balances, and changes therein are recorded and segregated to carry on specific activities or attain certain objectives in accordance with special regulations, restrictions, or limitations.
FUND BALANCE	A term used to express the excess of assets over liabilities (equity). It also represents the accumulated net resources of a fund available for reservation, designation, or for appropriation.
GENERAL FUND	General operating fund of the City. It is used to account for all financial resources except those required to be accounted for in another fund.
GENERAL OBLIGATION BONDS	Bonds where the City pledges its full faith and credit to the replacement of bonds. These bonds are secured by the General Fund of the City.
GOVERNMENTAL FUNDS	General, Special Revenue, Debt Service, and Capital Projects funds.
GRANTS	Contributions of cash or other assets from another governmental agency (usually) to be expended or used for a specified purpose, activity or facility.
LEASE PURCHASE	Contractual Agreements which are termed leases, but whose lease amount is applied to the purchase.
LONG TERM DEBT	Debt with a maturity of more than one year after the date of the issue.
OPERATING DEFICIT	The excess of operating expenditures over operating revenues.
OPERATING SURPLUS	The excess of operating revenues over operating expenditures.

ORDINANCE	A formal legislative enactment by the City Council. If it is not in conflict with any higher form of law, it has the full force and effect of law within the boundaries of the City.
RESERVES	Accumulated funds legally restricted or otherwise designated by a City Council for specific purposes.
RESOLUTION	A special or temporary order of the City Council requiring less formality than an ordinance.
REVENUES	Total amount of income received, earned, or otherwise available for appropriation.
SURPLUS	An excess of revenues over expenditures.
TAXES	Compulsory charges levied by a government for the purpose of financing services performed for the common good.
TRANSFERS	Payments from one fund to another ideally for work on services provided, or to cover operating expense shortfalls.
USER FEES	Payments of charges for direct receipt of a public service by the party benefiting from the service.

ACRONYMS

AV	Audio Visual
AWWA	American Water Works Association
BMP	Best Management Practices
CAFR	Comprehensive Annual Finance Report
CCAC	City Clerk Association of California
CCC	California Conservation Crews
CCR	Consumer Confidence Report
CDBG	Community Development Block Grant
CEQA	California Environmental Quality Act
CIP	Capital Improvement Project
CLA	California Library Association
CLETS	California Law Enforcement Telecommunications System
CLSA	California Library Services Act
COPS	Citizen's Options for Public Safety
CSL	California State Library
CSO	Community Services Officer
CSMFO	California Society of Municipal Finance Officers
DARE	Drug Abuse Resistance Education
DBP	Disinfection By-Products
DMV	Department of Motor Vehicles
DPW	Department of Public Works
EAP	Employee Assistance Program
EIR	Environmental Impact Review

EMS	Emergency Medical Services
EOC	Emergency Operations Center
EPA	Environmental Protection Agency
ERAF	Education Review Augmentation Fund
FEMA	Federal Emergency Management Agency
FF	Firefighter
FTE	Full Time Equivalent
GAAP	Generally Accepted Accounting Principles
GAAS	Generally Accepted Auditing Standards
GASB	Governmental Accounting Standards Board
GFOA	Government Finance Officers Association
GIS	Geographic Information Systems
GO	General Obligation
HDPE	High-Density Polyethylene Pipe
HSP	High Service Pump
HVAC	Heating & Air Conditioning
ICMA	International City/County Management Association
IT	Information Technology
LAFCO	Local Agency Formation Commission
LSWTP	Louis Stralla Water Treatment Plant
MDC	Mobile Data Center
MGD	Million Gallons per Day
MSD	Metropolitan Sewer District
MTC	Metropolitan Transportation Commission

NBC	North Bay Cooperative Library System
NCTPA	Napa County Transportation Planning Agency
NFPA	National Fire Protection Association
NLS	Northnet Library System
NSIB	Napa Special Investigation Bureau
OCLC	Online Computer Library Center, Inc.
OES	Office of Emergency Services
PERS	Public Employees Retirement System
PLF	Public Library Foundation
POF	Police Officers Foundation
REMIF	Redwood Empire Municipal Insurance Fund
RIMS	Records Integrated Management System
RLS	Robert Louis Stevenson Middle School
RWQCB	Regional Water Quality Control Board
SBW	Stonebridge Well
SCADA	Supervising Control and Data Acquisition
SCBA	Self-Contained Breathing Apparatus
SNAP	Solano & Napa Partners
SWRCB	State Water Resource Control Board
TID	Tourism Improvement District
TOT	Transient Occupancy Tax
VFD	Variable Frequency Drive
WTP	Water Treatment Plant
WWTP	Waste Water Treatment Plant

Funds

101 ***GENERAL FUND*****:** The primary reporting vehicle for current government revenues and operations, this fund accounts for all financial resources not required by law or City Council actions to be accounted for in another fund.

209 ***HOME GRANT:*** This fund is used for expenditures and grant reimbursements through the HOME Investments Partnership Program from the State of California Department of Housing and Community Development for owner-occupied residential rehabilitation program to assist low-income homeowners who's primary residences are in need of repairs. This program is referred to as the, "HOME Grant." The City of St. Helena has an agreement with the Housing Authority of the City of Napa for the administration of this grant.

211 ENVIRONMENTAL PROTECTION AGENCY GRANT (EPAG): This fund is used for expenditures and grant reimbursements for Environmental Protection Agency Grant (EPAG) funded programs or projects.

212 DEPARTMENT OF HOMELAND SECURITY (DHSG): This fund is used for expenditures and grant reimbursements for Department of Homeland Security Grant (DHSG) funded programs or projects.

213 ***GANG VIOLENCE SUPRESSION GRANT:*** This fund is used for expenditures and grant reimbursements for gang violence suppression.

216 ***PUBLIC SAFETY IMPACT FEES*****:** Section 22.5 of the City Code establishes this fund to accumulate revenues from fees on building permits to be used solely for equipment and facilities' costs for Police and the Fire Departments. Vehicles, capital equipment, and building improvements are approved uses.

218 ***PUBLIC LIBRARY FOUNDATION*****:** This fund is used to account for State Aid for libraries and related expense account for proceeds from the State of California under the California Library Services Act and related expenditures.

219 ***CLSA LIBRARY RESTORATION:*** This fund was established as a special revenue fund to account for proceeds from the State of California under the California Library Services Act and related expenditures.

222 ***PARK DEVELOPMENT:*** A special revenue fund for Ballpark State Grant, Proposition 12 Park per capita funding, other park grants, and park donations. These funds are restricted for park improvements and development.

223 ***SKATE PARK LIGHTING*****:** This fund is used to account for donations and is used to fund the expenses incurred in maintaining the Skate Park lights.

224 PUBLIC SAFETY (COPS)**:** A special revenue fund used to account for transactions related to supporting front line police officers.

225 *STATE GAS TAX 2105*: This fund is used to account for proceeds and expenditures of revenue received as a result of Proposition 111. Funds are restricted for use in the same manner as Section 2106/07. In addition, Proposition 111 established a "Maintenance of Effort" provision requiring cities to continue to provide matching street related expenditures from the General Fund equal to the average amount expended over the past 3 years.

226 *STATE GAS TAX 2106*: This fund is used to account for proceeds and expenditures of gas tax revenue received under the California Streets and Highways Code Section 2106. Apportionments are based on vehicle registration, assessed valuation, and population. Funds are restricted to any street or road purpose that include: construction, maintenance and allocated overhead related to streets, roads, bridges, culverts, curbs, gutters, sidewalks, traffic signals, right-of-way landscaping, traffic signs, bike paths adjacent to streets and roads.

227 *STATE GAS TAX 2107*: This fund is used to account for proceeds and expenditures of gas tax revenue received under the California Streets and Highways Code Section 2107. Apportionments are based on population. Uses of funds are the same as those listed for fund 225.

228 *STATE GAS TAX 2107.5*: This fund is used to account for proceeds and expenditures of gas tax revenue received under the California Streets and Highway Code Section 2107.5. Apportionments are based on population. Funds are restricted for use in covering the costs of street related engineering and administrative expenses. Cities with a population of less than 10,000 may use these funds for acquisition of rights-of-way and construction of its street system.

229 *STATE GAS TAX 2103*: Section 2103 was added beginning with the 2010-11 fiscal year to allocate funds from a new motor vehicle fuel excise tax that replaces previous city and county allocations from the Proposition 42 sales tax on gasoline. This is the change known as the “fuel tax swap of 2010.” Section 2103 funds are allocated to cities and counties on a per capita basis. Funds must be used for street and highway pavement maintenance, rehabilitation, reconstruction and storm damage repair. For Proposition 42 purposes, maintenance means patching, overlay, and sealing. Reconstruction includes overlay, sealing, or widening of the roadway to bring the roadway width to the desirable minimum pavement width consistent with accepted design standards for local streets and roads. However, widening of a roadway does not include widening for increasing the traffic capacity of a street or road.

230 *RMRA:* Section RMRA was added beginning with the 2017-18 fiscal year which includes funds from the following taxes enacted by the Road Repair and Accountability Act of 2017: the 12 cent gasoline excise tax, 20 cent diesel fuel excise tax, transportation improvement fees and transportation loan repayments.

235 *MEASURE A:* This fund is used to account for proceeds received under Measure A, the countywide flood management plan. This Ordinance imposed a one-half of one percent transaction and use tax in the County and established a Flood Protection and Watershed Improvement Expenditure Plan. Any amendments to the use of this tax as established by the Joint Powers Agreement, resolution 98-118 shall be recommended to the Napa County Flood Control, Water Conservation District, Financial Oversight Committee and the Technical Review Committee for approval. This Tax is scheduled to expire in 2018.

237 ***EMERGENCY FLOOD RELIEF:*** This fund is for allocations for disaster assistance relating to flood damage.

238 ***TRAINING DEVELOPMENT*****:** This fund was established to account for proceeds from the Police Officers Standards and Training fund to cover the costs of Police officer's training. Proceeds come in the form of reimbursements.

240 ***MEASURE T*****:** At the General Election held on November 6, 2012, the voters of Napa County approved a ½-cent sales tax increase known as Measure T, which was implemented on July 1, 2018. Measure T funding is to be used for maintenance, reconstruction, and/or rehabilitation of streets, roads, and transportation infrastructure within the public right-of-way including, but not limited to: sidewalks, curbs and gutters, curb ramps, lighting, traffic signage, striping, and local roadway drainage.

241 ***MEASURE T CLASS I TRAILS*****:** This funding is a match from the City that is required in order to receive Measure T funding. Each year the City must dedicate the appropriate funds equal to 6.67% of Measure T revenues earned that year, which will be used for Class 1 Bike Facility projects identified in the adopted Countywide Bicycle Plan.

277 ***PROP 56 GRANT*****:** This fund is used to account for expenditures and reimbursements related to the Tobacco Grant Program, which provides funding to promote a healthier California by reducing illegal sales and marketing of cigarettes and tobacco products to minors.

278 ***BSCC GRANT*****:** This funding was approved by the State of CA to assist with compliance checks and enforcement efforts of those diverted from the state prison system. The St. Helena Police Department will use these funds to address crime impacts in the community, strengthen the relationship between law enforcement and the community, create greater transparency for the organization, and implement best practices for law enforcement.

279 ***ASSET FORFEITURE*****:** A special revenue fund for monies from adjudicated crime cases restricted for public safety purposes.

280 ***COMMUNITY ACTIVITY FUND*****:** This fund is used to account for donations received to be used towards youth community activities within the community**.** Activities include the Teen Center. Beginning in FY 2019, this fund is no longer active and activity is accounted for in the General Fund Recreation budget.

283 ***TREE CITY USA*****:** This fund was established in fiscal year 1996/97 to account for expenditures related to the maintenance and planting of trees located on City right of ways and in parks within the City. The City is seeking a designation from the Arbor Foundation for this effort. Revenue sources include General Fund transfers and private donations.

286 ***BOCCE BALL LEAGUE:*** This fund is used to account for the costs of running Bocce league services to the general public on a continuing basis. The intent is to recover costs through user charges and fees. The fund, therefore, is operated in a manner similar to a private business enterprise.

287 *HARVEST FESTIVAL*: This fund is used to account for revenues from registration fees and donations and is used to fund the expenses incurred in administering the Harvest Festival.

288 *FOURTH OF JULY*: This fund is used to account for donations and is used to fund the expenses incurred in administering the Fourth of July fireworks show.

289 *RECREATION PROGRAMS*: Used to account for revenues from registration fees or other income from recreation programs and funding the expenses incurred in providing those programs. Council established this fund to monitor the ability of the recreation programs to be self-sustaining excluding costs associated with the Recreation Director. Beginning in FY 2021, this fund is no longer active and activity is accounted for in the General Fund Recreation budget.

290 *TOURISM IMPROVEMENT DISTRICT (TID)*: The Napa Valley Tourism Improvement District was created in 2010 and is funded through an assessment on hotel room nights implemented and collected by lodging businesses throughout Napa Valley. The intent of the assessment is to support local activities and products that promote, support and enhance locally based tourism and hospitality efforts. Revenue is currently 2% of taxable room rent. These funds are directed by the Tourism Board created by the County MOU.

291 *SB-1186 STATE FEES:* Effective January 1, 2013 an additional state fee of $1 was added to the business license application and renewal fee for, (1) the purpose of increasing disability access and compliance with construction-related accessibility requirements, and (2) developing educational resources for businesses to facilitate compliance with federal and state disability laws. This fee sunsets on December 31, 2018.

295 *N.O.A.A.:* This fund is used to account for monies used toward the compensation and mitigation project known as the Northern Napa River Tributary Stream Surveys.

329 *STABO TRUST:* This fund is used to account for proceeds and expenditures toward the upkeep of Stabo Park located on Hunt Avenue.

375 *MADELINE MURRAY TRUST FUND:* The proceeds from a non-expendable trust established in 2000 as a bequest from the Madeline Murray, through the Madeline Murray and Bertha Tranah Foundation. The funds are to be used for new equipment purchases for the Police Department. The Fire Department also receives funding from the Madeline Murray and Bertha Tranah Foundation but it is given directly to the St. Helena Volunteer Fire Department, a non-profit organization.

380 *FRIENDS & FOUNDATION, ST. HELENA PUBLIC LIBRARY*: This fund is used to account for grant monies to the St. Helena Public Library from the 501(c)(3) support organization FFSHPL and related expenditures.

381 *RYAN LIBRARY TRUST*: A non-expendable trust established in 1941 as a bequest from the estate of John Joseph Ryan. Only earnings on investments may be appropriated for library expenditures. Expenditures are restricted to any and all costs of maintaining the library. The fund represents the earnings on investments that are available for expenditure. The non-expendable principal is held separately.

382 *MARTIN ESTATE TRUST*: This is a non-expendable trust established in 1968 as a bequest from the estate of Leo H. Martin. Only earnings on investments may be appropriated for library expenses. These expenses are limited to extending, improving and enlarging the selection of books on California and Napa County History. The fund represents the earnings on investments that are available for expenditure. The non-expendable principal is held separately.

384 *TWEED TRUST – ENHANCEMENT DISTRIBUTION:* A trust established in 2000 as a bequest from Dorothy L. Tweed and governed by the Wood Endowment administrative framework. This fund is the expendable annual 4% distribution from the Tweed Enhancement Account of the net fair market value of assets. Funds are to benefit the library and provide support to enhance and enrich basic library services and to enhance the interior of the building. All funding requests are approved by the Library Board of Trustees and the City Council.

420 *FIRE STATION BONDS*: Long-term debt associated with the issuance of the 1996 Fire Station Bonds is accounted for here. The bonds, bearing interest from 5.0% to 6.75% are payable January 1 and July 1 of each year through the year 2016. Principle matures each July 1 at $65,000 to $175,000 from 1998 through 2016. Debt service is financed through property tax assessments on all property within the City. Rates are established annually by the City Council and must be certified to Napa County Auditor/Controller by August 15 of each year.

443 *SOUTH S.H. DRAINAGE ASSESSMENT*: Fund established to account for a Subdivision Reimbursement Agreement wherein a developer installed an oversized storm drain improvement and the City by ordinance 89-11 set up the South St. Helena Drainage Improvement Benefit Zone to assess property owners benefiting from the improvement to pay the costs associated with the storm drain. As fees are collected, they are remitted to the developer less 1.5% for City administrative costs.

561 *WATER ENTERPRISE*: This fund is used to account for the costs of providing water services to the general public on a continuing basis. The intent is to recover costs through user charges and fees. The fund, therefore, is operated in a manner similar to a private business enterprise.

571 *SEWER ENTERPRISE*: This fund is used to account for the costs of providing sewer services to the general public on a continuing basis. The intent is to recover costs through user charges and fees. The fund, therefore, is operated in a manner similar to a private business enterprise.

582 *CITY GARAGE*: This Internal Service Fund is designed to account for the total costs of maintaining the fleet of vehicles and automotive equipment owned by the city. Costs are allocated to the various user departments based on time and materials used within those user departments.

592 *EQUIPMENT REPLACEMENT*: This Internal Service Fund is designed to account for the total costs and set aside funds for future replacement costs of equipment. This includes vehicles, computers and other equipment as identified. As equipment is identified, user departments will be allocated costs based on estimated costs of replacement.

593 *FIRE DEPARTMENT CAPITAL EQUIPMENT REPLACEMENT*: This Fund is designated to account for funds set aside for future replacement costs and maintenance costs of Fire Department equipment. Funds included are received from Fire Department Strike Team Revenues received for use of fire apparatuses and equipment during Strike Teams Incidents.

700 *FLOOD CONTROL CAPITAL RESERVE:* his fund is used for the expansion, major repair or replacement of the flood control facilities located near Vineyard Valley Mobile Home Park. This fund is required to be in effect for the term of the City's State Revolving Loan, which is currently through 2028.

713 *CIVIC IMPACT*: This fund is used to accumulate restricted funds from new development's proportionate share of the depreciated replacement cost of a range of facility types including City Hall, corporation yard facilities, as well as library and recreation facilities.

733 *CIVIC CIP:* This fund is used to account for transactions as they relate to Civic Capital Improvement Projects (CIP).

734 *PARK IMPACT*: This fund is used to accumulate funds from new or proposed residential development solely for park land acquisition and park improvements.

740 *TRAFFIC MITIGATION IMPACT*: This fund is used to accumulate funds from new or proposed development to finance circulation improvements to reduce the impacts of traffic generated by new development within the City.

741 *STREETS CIP:* This fund is used to account for transactions as they relate to Streets Capital Improvement Projects (CIP).

742 *STORM DRAIN IMPROVEMENT*: This fund is used to accumulate funds from new development's proportionate share of planned drainage system improvements.

744 *HOUSING IMPACT FEES*: This fund is used to accumulate funds from new or proposed development in order to defray the costs of providing affordable housing in the City. Beginning in FY 2019, this fund is no longer active and activity is accounted for in Fund 751 Affordable Housing.

745 *PARKING IN-LIEU*: This fund is used to accumulate funds from new or proposed development to pay for all or a portion of the costs associate with providing new parking facilities in the City.

751 *AFFORDABLE HOUSING*: This fund is used to accumulate funds from new or proposed development in order to defray the costs of providing affordable housing in the City.

752: *MEASURE E*: Measure E went into effect on January 1, 2019, increasing the Transient Occupancy Tax from 12 to 13 percent to fund workforce housing. The additional 1% is placed in this fund and all revenues are restricted to programs and services for affordable and workforce housing. Affordable and workforce housing services and programs funded from Measure E include activities to increase, improve, and preserve the City's supply of rental and for-sale housing for households earning up to 120% of area median income.

763 *WATER CIP:* This fund is used to account for transactions as they relate to Water Capital Improvement Projects (CIP).

764 *WATER IMPACT*: This fund is used to accumulate funds from new or proposed development to pay for water system capital improvements needed to support new development.

773 *WASTEWATER CIP:* This fund is used to account for transactions as they relate to Wastewater Capital Improvement Projects (CIP).

774 *WASTEWATER IMPACT*: This fund was established to account for the costs of constructing and improving the wastewater treatment plant and sewer collection system in order to support new development.

CITY OF ST. HELENA
FUND BUDGET SUMMARY
Fiscal Year 2022/2023

	ESTIMATED 6/30/2022 FUND BALANCE*	ADOPTED 2023 REVENUES	ADOPTED 2023 EXPENDITURES	PROJECTED 6/30/2023 ENDING BALANCE*
FUND 101, GENERAL FUND	10,415,771	17,286,421		
Non-Departmental			3,896,516	
City Council			392,708	
City Manager/Clerk			924,603	
Finance/Human Resources/IT			1,081,673	
City Attorney			386,000	
Planning/Building			1,112,778	
Library			934,708	
Recreation			901,774	
Fire			2,063,312	
Police			3,639,929	
Public Works			3,316,359	
TOTAL GENERAL FUND	**$ 10,415,771**	**$ 17,286,421**	**$ 18,650,360**	**$ 9,051,832**
OTHER FUNDS				
Fund 209, HOME Grant	392,728	250,150	25,000	617,878
Fund 212, Department of Homeland Security	1,127	400	400	1,127
Fund 213, Gang Violence Suppression Grant	276	5	-	281
Fund 216, Public Safety Impact Fees	620,033	29,500	264	649,270
Fund 218, Public Library Foundation	1,310	5	1,300	15
Fund 219, CLSA Library Restoration	1,887	15	1,350	552
Fund 222, Park Bond Act	222	-	-	222
Fund 224, Public Safety (COPS)	253,813	146,550	133,400	266,963
Fund 225, State Gas Tax 2105	-	37,925	37,800	125
Fund 226, State Gas Tax 2106	-	21,764	21,664	100
Fund 227, State Gas Tax 2107	23,481	54,090	51,590	25,981
Fund 228, State Gas Tax 2107.5	8,669	2,100	2,000	8,769
Fund 229, State Gas Tax 2103	63,561	55,060	54,560	64,061
Fund 230, Road Maint & Rehab Account	128,972	138,814	138,364	129,422
Fund 235, Measure A	43,568	250	-	43,818
Fund 237, Emergency Flood Relief	175,036	1,800	-	176,836
Fund 238, Training Development	23,563	3,700	8,000	19,263
Fund 240, Measure T	2,562,479	1,371,970	895,286	3,039,163
Fund 241, Measure T Class 1 Trails	287,937	88,000	-	375,937
Fund 277, Prop 56 Grant	-	146,723	146,723	-
Fund 278, BSCC Grant	2,627	30	-	2,657
Fund 279, Asset Forfeiture	55,012	6,450	6,500	54,962
Fund 283, Tree City USA	131,666	-	131,666	-
Fund 286, Bocce Ball	62,030	40,500	27,827	74,703
Fund 287, Harvest Festival	11,301	3,900	15,100	101
Fund 288, Fourth of July	23,202	40,000	55,000	8,202

	ESTIMATED 6/30/2022 FUND BALANCE*	ADOPTED 2023 REVENUES	ADOPTED 2023 EXPENDITURES	PROJECTED 6/30/2023 ENDING BALANCE*
Fund 289, Recreation Programs	36,050	-	36,050	-
Fund 290, Tourism Improvement District	13,826	551,040	550,590	14,276
Fund 291, SB-1186 State Fees	17,786	2,720	5,000	15,506
Fund 295, N.O.A.A.	2,717	25	-	2,742
Fund 329, Stabo Trust	37,555	400	-	37,955
Fund 375, Murray Ex Trust	17,985	1,850	4,860	14,975
Fund 380, Friends and Foundation	45,859	137,400	144,288	38,971
Fund 381, Ryan Library Trust	13,846	250	-	14,096
Fund 382, Martin Library Trust	24,577	450	700	24,327
Fund 384, Tweed Trust Enhancement Dist.	767,108	62,856	50,000	779,964
Fund 420, Fire Station GO Bonds	12,361	-	-	12,361
Fund 443, South St. Helena Drainage	29,969	325	-	30,294
Fund 561, Water Enterprise	3,203,345	6,625,840	6,625,840	3,203,345
Fund 571, Sewer Enterprise	3,771,200	3,385,563	3,385,563	3,771,200
Fund 582, Garage	(30,273)	316,590	316,589	(30,272)
Fund 592, Equipment Replacement	255,241	458,000	398,669	314,572
Fund 593, Fire Capital Equipment Replacement	132,994	-	40,000	92,994
TOTAL OTHER FUNDS	**$ 12,833,916**	**$ 13,732,860**	**$ 13,286,943**	**$ 13,279,833**
CAPITAL FUNDS				
Fund 700, Flood Control Protection	141,045	51,500	30,000	162,545
Fund 713, Civic Improvement Impact Fees	762,041	26,000	1,295	786,746
Fund 733, Civic Capital Improvement	768,960	2,879,693	2,519,019	1,129,634
Fund 734, Park Impact Fees	1,083,198	83,000	640,659	525,539
Fund 740, Traffic Mitigation Impact Fees	2,770,742	65,000	874,906	1,960,837
Fund 741, Streets Capital Improvement	(414,023)	2,536,445	2,078,056	44,366
Fund 742, Storm Drain Impact Fees	668,689	22,000	264	690,425
Fund 745, Parking In-Lieu	656,020	5,000	30,000	631,020
Fund 751, Affordable Housing	1,505,338	65,295	25,000	1,545,633
Fund 752, Measure E	-	287,718	10,000	277,718
Fund 763, Water Capital Improvement	92,020	-	900,000	(807,980)
Fund 764, Water Impact Fees	177,869	37,164	1,296	213,738
Fund 773, Wastewater Capital Improvement	1,642,632	8,397,856	13,436,139	(3,395,651)
Fund 774, Wastewater Impact Fees	605,841	16,918	678,556	(55,796)
TOTAL CAPITAL FUNDS	**$ 10,460,373**	**$ 14,473,589**	**$ 21,225,189**	**$ 3,708,773**
TOTAL ALL FUNDS	***$ 33,710,061***	***$ 45,492,870***	***$ 53,162,493***	***$ 26,040,438***

Estimated Balances are Unassigned Fund Balance.

SCHEDULE OF TRANSFERS
Fiscal Year 2022/2023

#	FROM:	TO:	DESCRIPTION	AMOUNT
FROM: GENERAL FUND				
1	101	241	Streets CIP - Measure T Class 1 Trails	85,000
2	101	288	4th of July	40,000
3	101	592	Equipment Replacement Fund	458,000
4	101	733	HMGP Defensible Space Match	40,750
5	101	741	Streets CIP - Oak Ave & College Ave Improvements	50,000
6	101	741	Streets CIP - Measure T MOE	379,189
			TOTAL TRANSFERS FROM GENERAL FUND	**1,052,939**
FROM: HIGHWAY USERS TAX AND ROAD MAINTENANCE & REHABILITATION ACT [(1)]				
7	225	741	Streets CIP	37,800
8	226	741	Streets CIP	21,664
9	227	741	Streets CIP	40,590
10	228	741	Streets CIP	2,000
11	229	741	Streets CIP	54,560
12	230	741	Streets CIP	138,364
			TOTAL TRANSFERS FROM HIGHWAY USERS TAX AND ROAD MAINTENANCE & REHABILITATION ACT [(1)]	**294,978**
FROM: MEASURE T				
13	240	741	Streets CIP	895,286
			TOTAL TRANSFERS FROM MEASURE T FUND	**895,286**
FROM: TREE CITY				
14	283	101	Tree City Fund Balance - Activity Transferred to GF	131,666
			TOTAL TRANSFERS FROM TREE CITY FUND	**131,666**
FROM: RECREATION				
15	289	101	Recreation Fund Balance - Activity Transferred to GF	36,050
			TOTAL TRANSFERS FROM RECREATION FUND	**36,050**
FROM: TID				
16	290	101	TID Assessment Admin Fee	4,999
			TOTAL TRANSFERS FROM TID FUND	**4,999**
FROM: PARK IMPACT FEE FUND				
17	734	733	Transfer to Civic CIP	515,659
			TOTAL TRANSFERS FROM PARK IMPACT FEE FUND	**515,659**
FROM: TRAFFIC MITIGATION IMPACT FEE FUND				
18	740	774	Transfer to Wastewater Impact Fee - Impact Fee	873,610
			TOTAL TRANSFERS FROM TRAFFIC MITIGATION IMPACT FEE FUND	**873,610**
FROM: WASTEWATER IMPACT FEE FUND				
19	774	773	Transfer to Wastewater CIP	677,260
			TOTAL TRANSFERS FROM WASTEWATER IMPACT FEE FUND	**677,260**

TOTAL TRANSFERS **4,482,447**

[(1)] Transfers may decrease based on total activity at year end

[(2)] Impact fee loan to assist with funding for the WWTP Upgrade project

SCHEDULE OF TRANSFERS
Fiscal Year 2022/2023

SUMMARY TRANSFERS OUT:			
General Fund	101	=	1,052,939
Highway Users Tax - 225	225	=	37,800
Highway Users Tax - 226	226	=	21,664
Highway Users Tax - 227	227	=	40,590
Highway Users Tax - 228	228	=	2,000
Highway Users Tax - 229	229	=	54,560
Road Maintenance & Rehab Act	230	=	138,364
Measure T	240	=	895,286
Tree City	283	=	131,666
Recreation	289	=	36,050
TID	290	=	4,999
Park Impact Fee Fund	734	=	515,659
Traffic Mitigation Fee Fund	740	=	873,610
Wastewater Impact Fee Fund	774	=	677,260
		TOTALS:	**4,482,447**

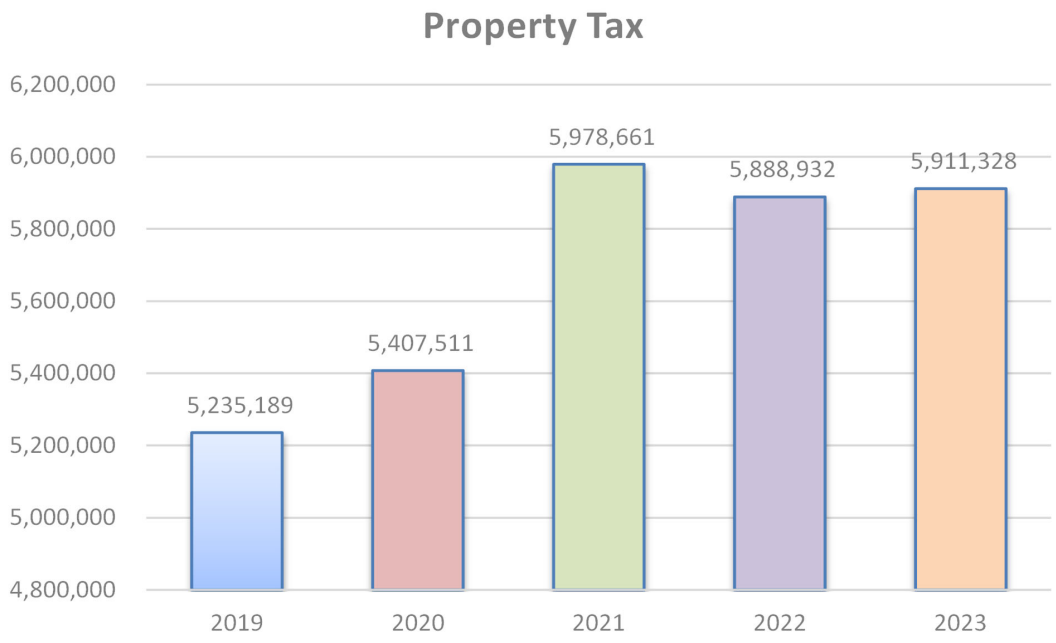
SUMMARY TRANSFERS IN:			
OPERATIONS			
General Fund	101	=	172,715
Fourth of July	288	=	40,000
Capital Equipment	592	=	458,000
Subtotal Operations			670,715
CAPITAL			
Measure T Class 1 Trails	241	=	85,000
Civic CIP	733	=	556,409
Streets CIP	741	=	1,619,453
Wastewater CIP	773	=	677,260
Wastewater Impact Fee	774	=	873,610
Subtotal Capital			3,811,732
		TOTALS:	**4,482,447**

CITY OF ST. HELENA
DESCRIPTIONS OF REVENUE SOURCES

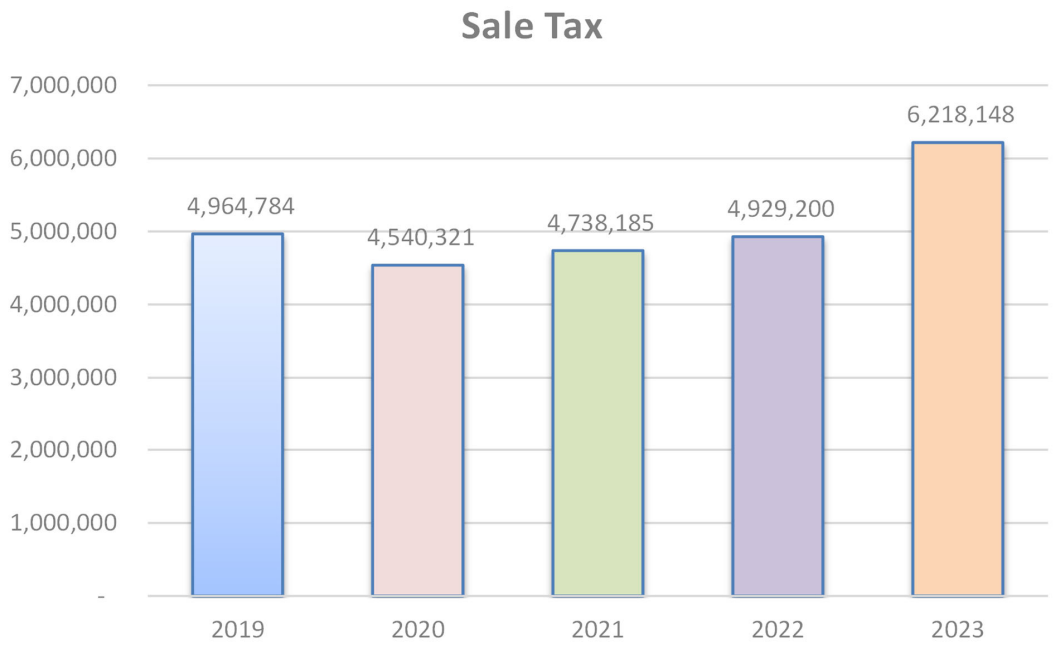
FISCAL YEAR 2022-23

GENERAL FUND

Property Taxes ($5,911,328) - Real property within the City is taxed at 1% of assessed value as determined by the County Assessor. The City's share of this tax is approximately 16%. For fiscal year 2022-23 a growth factor of 3.4% has been applied. The growth factor has been applied to the FY 2021-22 adjusted budget excluding, which was budgeted based on historical average. Napa County is using the Teeter Plan for collections that provides the City with 100% of the taxes assessed with the County in turn keeping all delinquent penalties and interest collected. This category includes revenues for Property Tax Secured, Property Tax Unsecured, Prior Year Property Tax, Homeowner Property Tax, Real Property Transfer Tax, and In Lieu VLF. Previous budgets had a separate revenue category for In Lieu VLF; starting in FY 2017-2018 this item was added to the budget document to resemble the audited financial statements more closely.

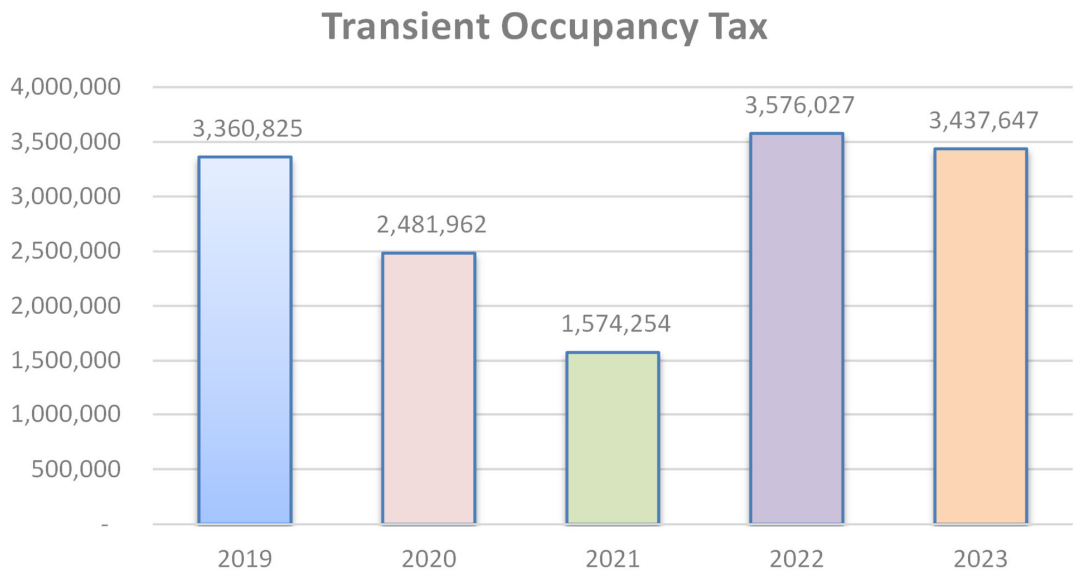


Sales Tax and Sales Tax in Lieu ($6,218,148) - The City receives 1.5% of retail sales made within the City limits. Sales tax in St. Helena is derived from a diversity of commercial operations such as wineries, tasting rooms, retail shops, restaurants, building supply, and car dealers. Estimates for sales tax are based on the most likely model presented by Avenue Insights & Analytics, the City's sales tax consultant. FY 2021-22 Estimated amount is a 26.15% increase over FY 2021-22 Estimated amount, which continues to recover from the COVID-19 pandemic that resulted in numerous business closures caused by public health orders.

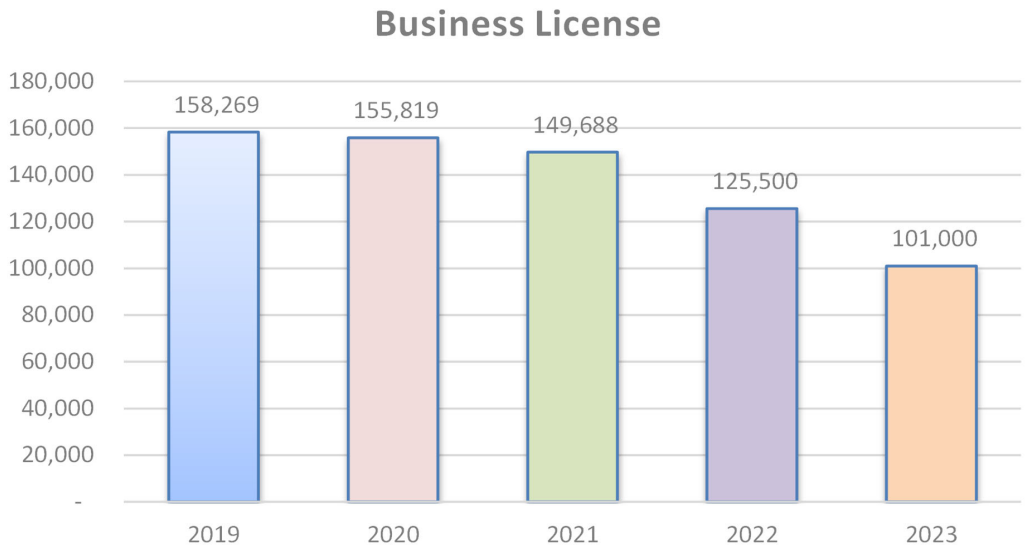


Transient Occupancy Tax ($3,437,647) – The City has a tax rate of 12% on all overnight stays when occupying a room, rooms, or other living space in a hotel, inn, tourist home or house, motel, or other lodging if the stay is for a period of 31 days or less. The tax is paid by the guests staying at these accommodations. Due to impacts from the COVID-19 Pandemic health orders that caused rapidly diminishing occupancy beginning in March 2020, Transient Occupancy Tax remains the most volatile of the City's primary General Fund revenue sources.

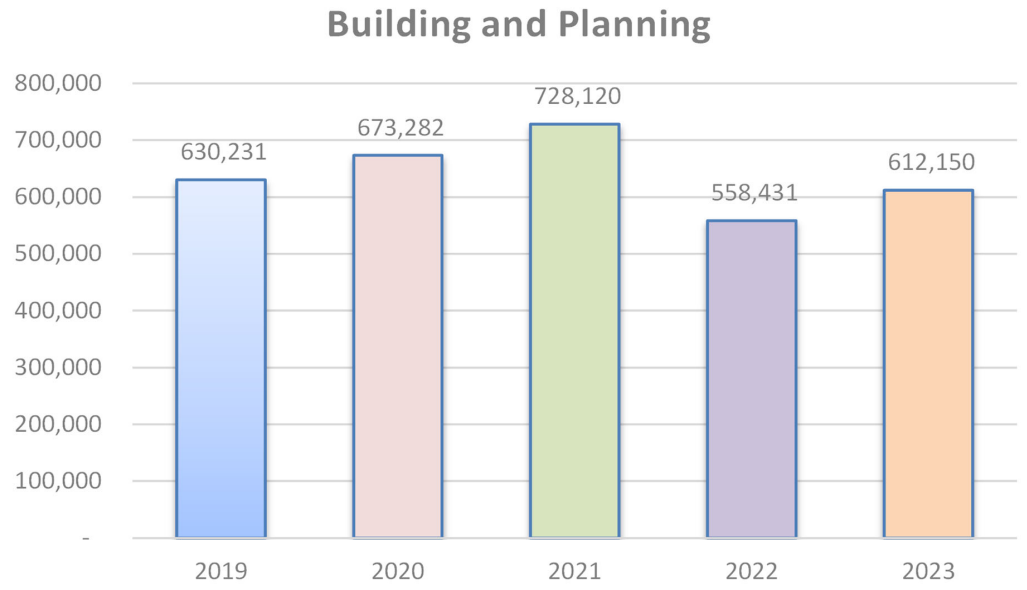
FY 2021-22 performance was higher than anticipated, which is a result of increased travel as pandemic restrictions relax. However, it is unknown if the surge in occupancy is sustainable. Therefore, the City continues to remain cautious in projecting TOT revenues. Projections were based on a 4% increase in pre-pandemic revenue collections.



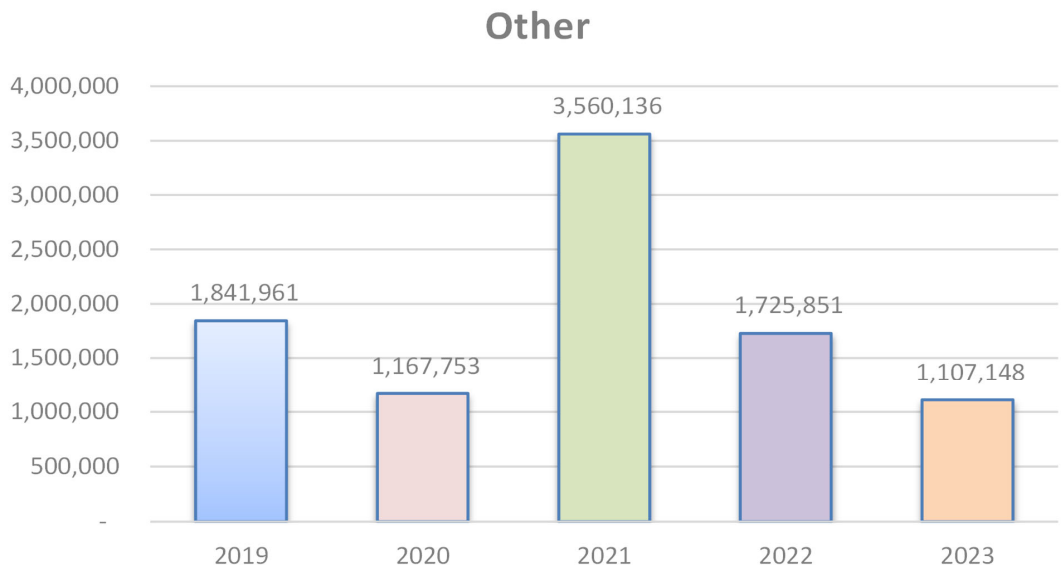
Business License Tax ($101,000) - This revenue is generated by a license tax paid by all businesses operating within the City. With revenues declining during the current fiscal year, a relative decrease in revenue has been projected for FY 2022-23.



Building & Planning Revenue ($558,431) - This category includes revenues for Building Permits, Building Inspection and Administrative Fees, Planning Application and Permit Fees, and Short-Term Rental Permit Fees.

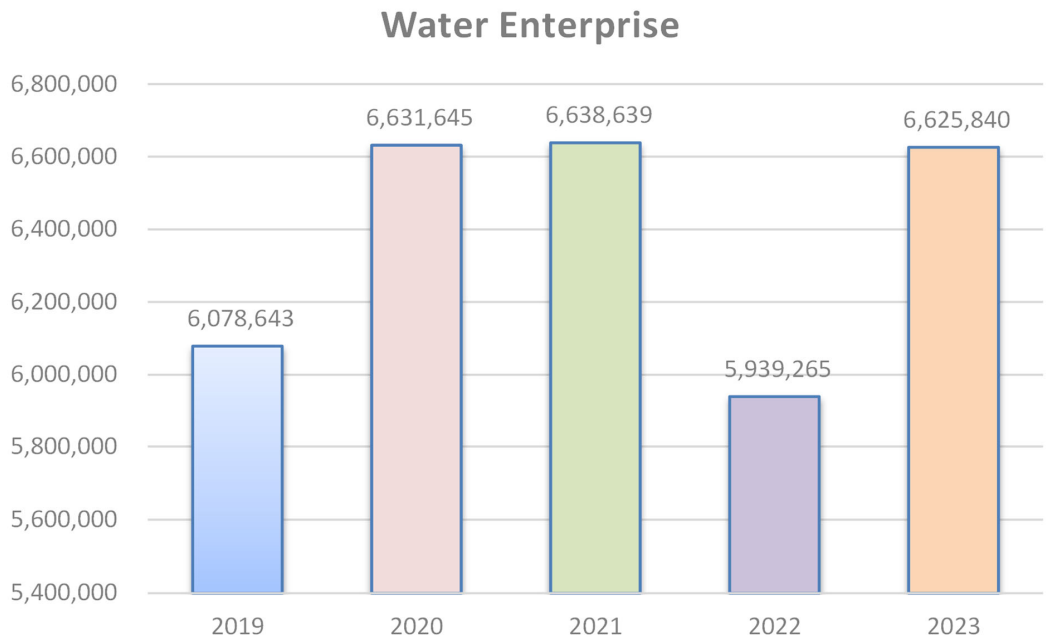


Other ($1,107,148) - This category includes revenues for Franchise Taxes, Charges for Services, Fines and Forfeits, Development Fees, Intergovernmental Fees, Interest and Rents, and Miscellaneous General Fund Revenues. The significant increase in the FY 2020-21 revenue received is due to Emergency Relief related to reimbursements for expenses incurred by the LNU Lightning Complex Fire and Glass Fire.

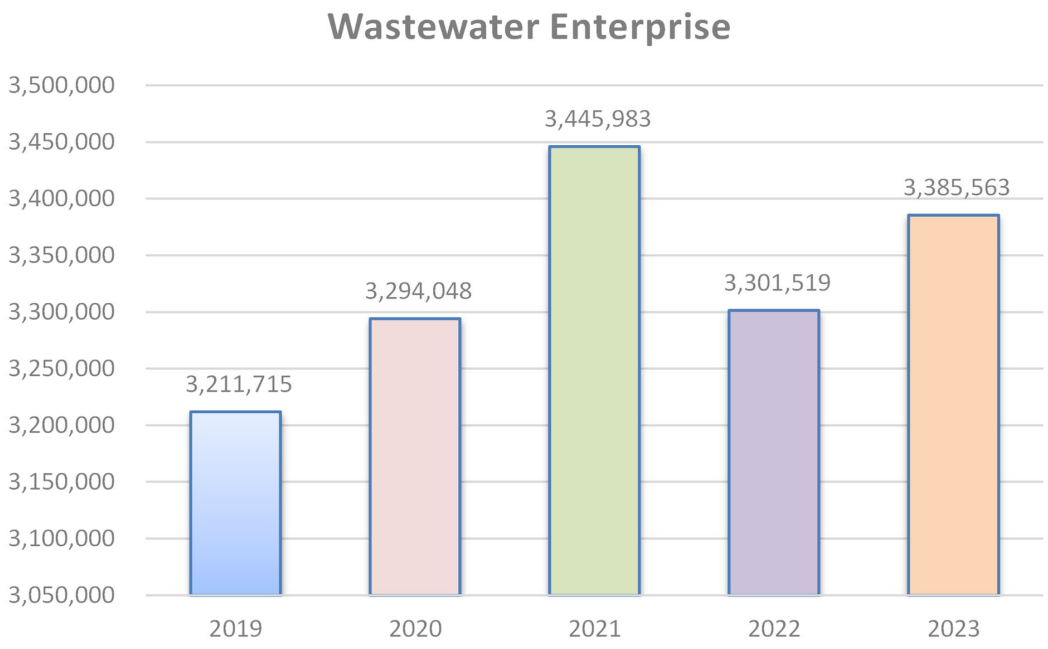


ENTERPRISE FUNDS

Water Enterprise Service Charges ($6,625,840) - Revenues charged to users of the municipal water system. The City entered a Phase II Water Emergency in November 2020, which implemented a penalty structure that is assessed to users that exceed their monthly water allocation. As a result of the penalty structure, water revenues declined by approximately 10.5% in FY 2021-22 as water conservation was realized. The City engaged Raftelis to conduct a Water and Wastewater Rate Study in FY 2021-22. It is anticipated that the new rates will be implemented in April 2023. Funds are used to pay for debt service payments, operations and maintenance, and capital projects.



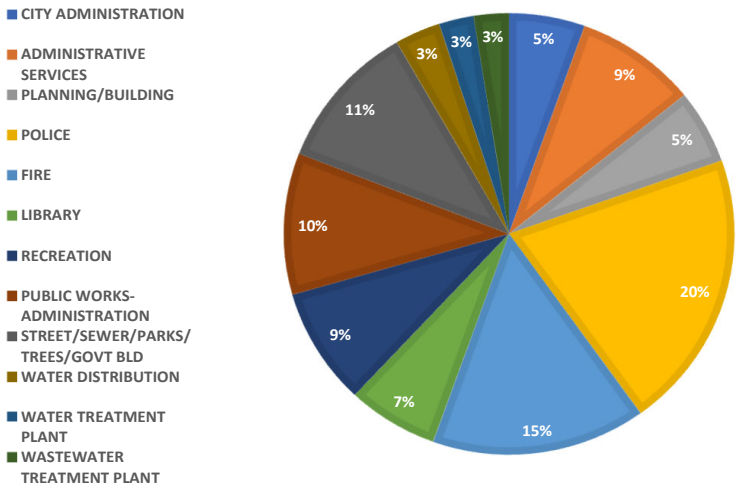
Wastewater (Sewer) Enterprise Service Charges ($3,385,563) - Revenues charged to users of the municipal sewer system. The City entered a Phase II Water Emergency in November 2020, which implemented a penalty structure that is assessed to users that exceed their monthly water allocation. FY 2021-22 projected revenues declined by approximately 4.19% because of decreased sewer commodity revenue which is based on actual water usage. The decline was a result of water conservation measures. Funds are used to pay for debt service payments, operations and maintenance, and capital projects.



CITY OF ST. HELENA
ALLOCATION OF CITY POSITIONS
Fiscal Year 2022-23

STAFF OVERVIEW

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 (including Unfunded Liability for PERS). The following graph identifies full-time equivalent (FTE) positions by department.



STAFFING COMPARISON BY DEPARTMENT
IN FULL-TIME EQUIVALENTS

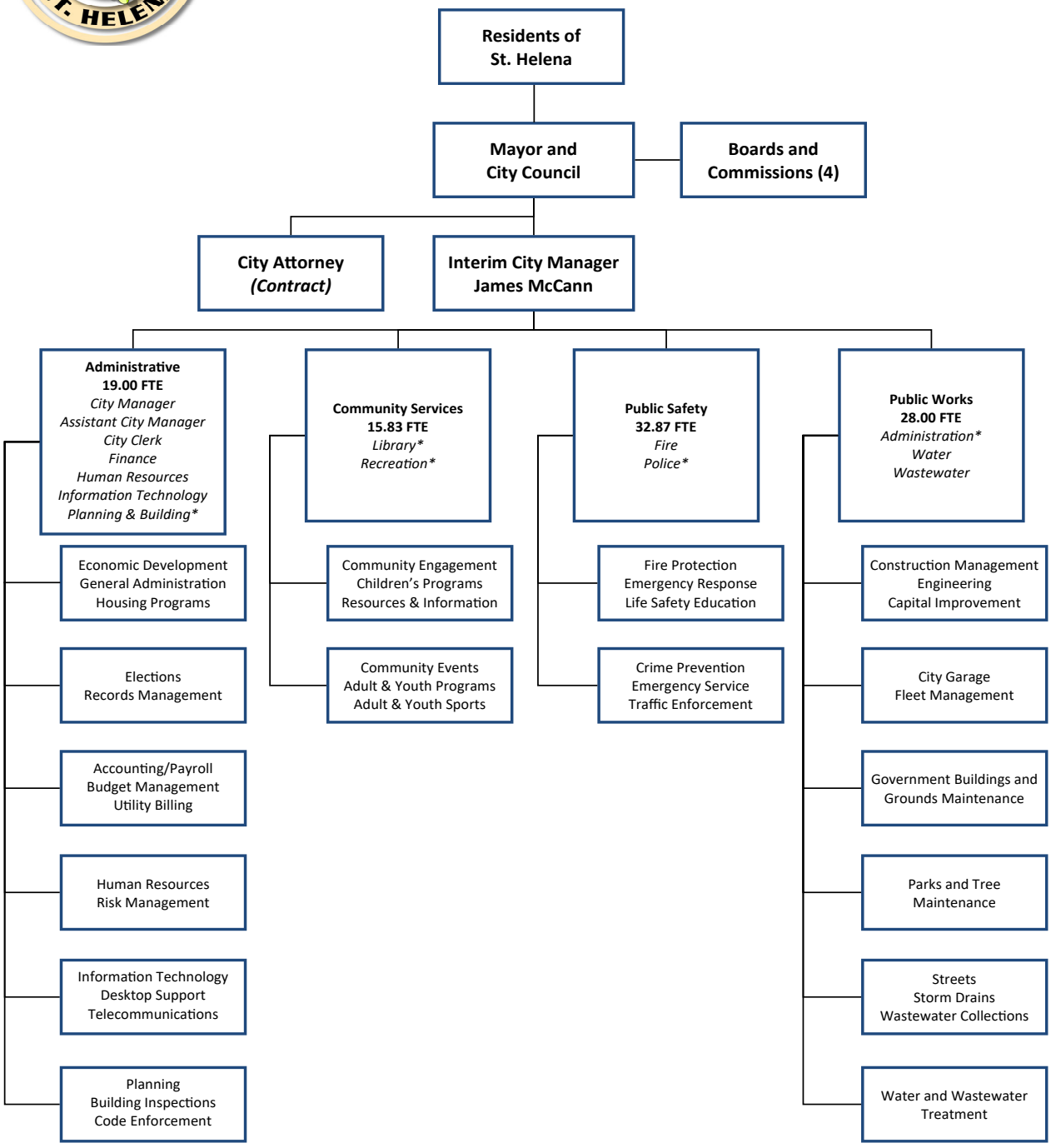
DEPARTMENTS	FY 18/19	FY 19/20	FY 20/21	FY 21/22	FY 22/23	*CURRENT +/-*
CITY ADMINISTRATION	6.00	6.00	6.00	4.00	5.00	1.00
ADMINISTRATIVE SERVICES	5.00	5.00	5.00	7.00	8.00	1.00
PLANNING/BUILDING	6.00	6.00	5.00	5.00	5.00	0.00
POLICE	17.75	18.75	16.75	17.75	18.75	1.00
FIRE	8.63	10.20	10.15	10.15	14.12	3.97
LIBRARY	7.95	7.95	6.95	6.95	5.98	(0.97)
RECREATION	7.85	7.85	7.35	6.85	7.85	1.00
PUBLIC WORKS-ADMINISTRATION	7.00	7.00	6.50	6.50	9.50	3.00
STREET/SEWER/PARKS/TREES/GOVT BLD	8.00	8.50	9.00	9.50	9.90	0.40
WATER DISTRIBUTION	3.00	3.00	3.00	3.00	3.00	0.00
WATER TREATMENT PLANT	3.00	3.00	3.00	3.00	2.30	(0.70)
WASTEWATER TREATMENT PLANT	3.00	3.00	3.00	3.00	2.30	(0.70)
TOTAL FTE'S	**83.18**	**86.25**	**81.70**	**82.70**	**91.70**	9.00

Authorized positions for fiscal year 2023 are 91.70 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.

The adopted budget shows the addition of several positions during FY 2021-22 and FY 2022-23. An increase of 1.0 FTE in City Administration was a result of the newly created Assistant City Manager position approved in FY 2021-22. An increase of 1.0 FTE in the Administrative Services Department is the result of a newly created Administrative Services Analyst position FY 2021-22. An increase of 1.0 FTE in the Police Department is the result of unfreezing one Police Officer position in FY 2021-22. A net decrease of 3.97 FTE in the Fire Department is the addition of four full-time Firefighters, increasing the Fire Chief to full-time and decreasing part-time salaries as a result of the addition of the full-time positions during FY 2021-22. A net decrease in the Library Department is a result of freezing one Library Associate position and increasing the part-time hours. The increase of 1 FTE in the Recreation Department is a result of unfreezing one Recreation Supervisor position. The increase of 3.0 FTE in Public Works Administration is the result of the unfreezing the Senior Civil Engineer and Environmental Technician positions and the addition of a Treatment Plant Manager position. The increase in the Parks division is a result of shifting one Maintenance Worker position from being split 50/50 between Public Works and Recreation to 100% Public Works. The net decrease in the Treatment Plants is a result of the addition of one Treatment Plant Manager to oversee the plants and the elimination of the Chief Plant Operators.

City of St. Helena

Fiscal Year 2022/23 Organizational Chart



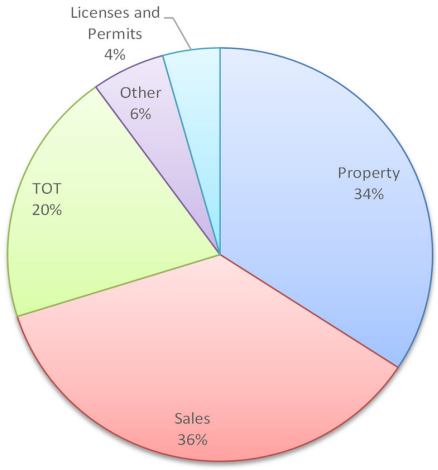
**Not all FTE will be filled, as some positions have been frozen during the start of FY 2022-23.*

General Fund

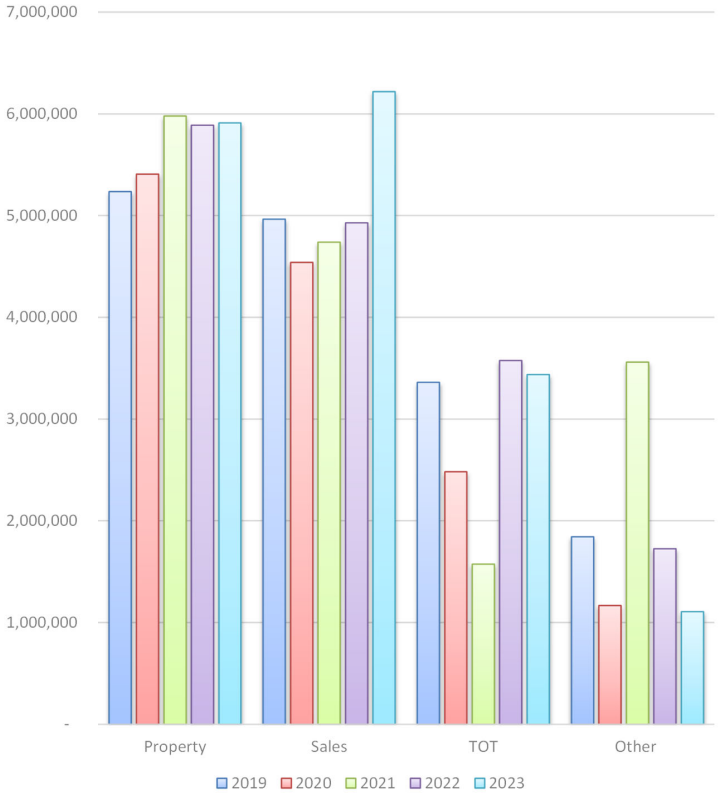
The General Fund is used to account for resources traditionally associated with government, which are not required legally or by sound financial management to be accounted for in another fund.

CITY OF ST. HELENA
GENERAL FUND REVENUES - $17,286,421

FISCAL YEAR 2022-23



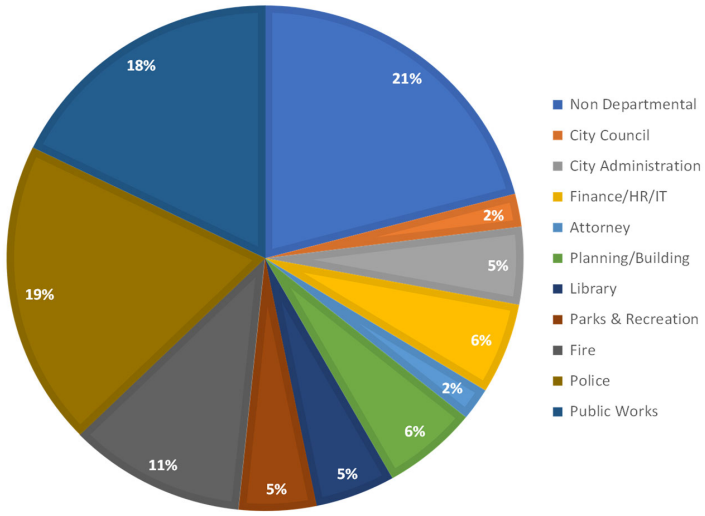
GENERAL FUND REVENUE COMPARISON



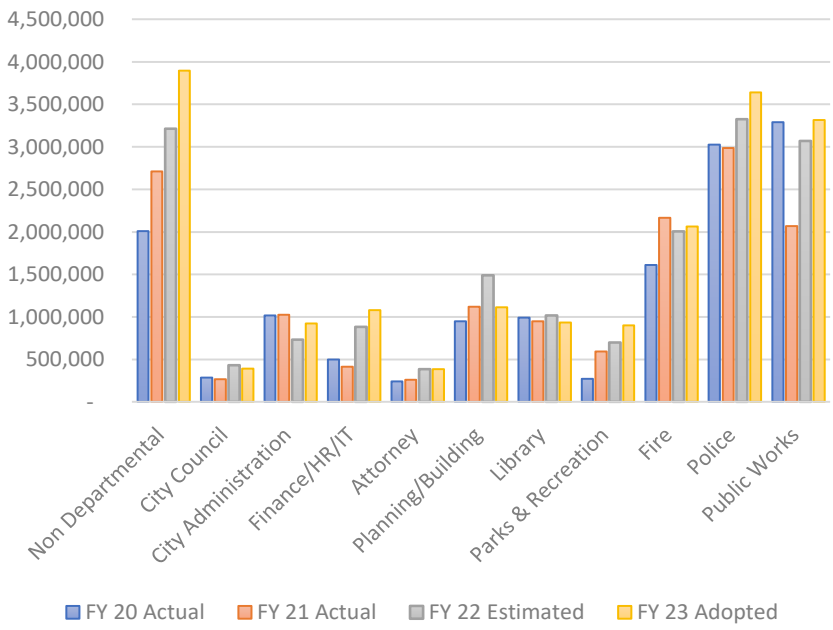
CITY OF ST. HELENA
GENERAL FUND YEAR EXPENDITURES -$18,650,360

BY DEPARTMENT

FISCAL YEAR 2022-23



GENERAL FUND YEAR OVER YEAR EXPENDITURES



General Fund Revenues

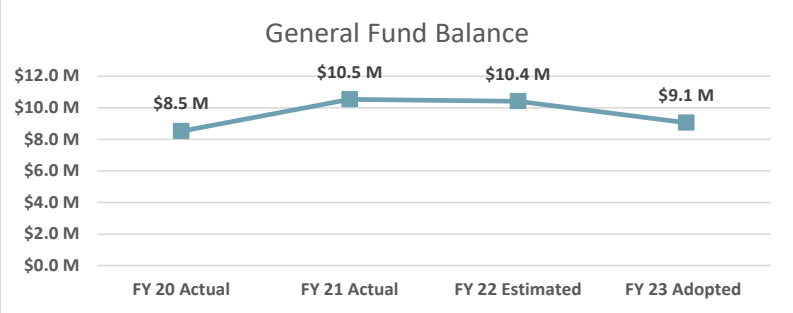
Account	Description	Actual 2019	Actual 2020	Actual 2021	Adopted 2022	Adjusted 2022	Estimated 2022	Adopted 2023
Property Taxes								
101-30-10-00-00	Property Tax-Secured	3,940,490	4,109,646	4,491,375	4,424,468	4,398,942	4,398,942	4,574,900
101-30-11-00-00	ERAF Shift to State	342,386	309,857	465,733	-	443,774	496,468	230,000
101-30-20-00-00	Property Tax-Unsecured	125,292	127,427	22,927	162,196	161,261	161,261	167,711
101-30-30-00-00	Prior Year Property Tax	1,035	964	4,323	1,588	1,588	8,823	1,642
101-30-90-00-00	Real Property Transfer Tax	83,805	67,964	171,689	88,000	88,000	110,000	110,000
101-32-05-00-00	In Lieu VLF	726,626	776,392	810,122	782,140	777,628	777,628	808,733
101-32-20-00-00	Homeowner Property Tax	15,555	15,260	12,492	17,739	17,739	13,460	18,342
Property Taxes		**5,235,189**	**5,407,511**	**5,978,661**	**5,476,132**	**5,888,932**	**5,966,582**	**5,911,328**
Sales Tax								
101-30-40-00-00	Retail Sales/Use Tax	3,159,579	2,822,979	2,945,506	3,058,400	3,058,400	3,058,400	3,822,848
101-30-42-00-00	Public Safety Sales Tax	61,687	66,742	69,493	71,800	71,800	71,800	80,300
101-30-43-00-00	Sales Tax In Lieu	-	-	-	-	-	-	-
101-30-44-00-00	Measure D	1,743,519	1,650,599	1,723,186	1,799,000	1,799,000	1,799,000	2,315,000
Sales Tax		**4,964,784**	**4,540,321**	**4,738,185**	**4,929,200**	**4,929,200**	**4,929,200**	**6,218,148**
Transient Occupancy Taxes								
101-30-50-00-00	Transient Occupancy Tax	3,296,741	2,470,808	1,558,565	3,131,904	3,566,991	3,566,991	3,428,611
101-30-51-00-00	Transient Tax Penalty	64,084	11,154	15,689	9,036	9,036	9,036	9,036
Transient Occupancy Taxes		**3,360,825**	**2,481,962**	**1,574,254**	**3,140,940**	**3,576,027**	**3,576,027**	**3,437,647**
Other Taxes								
101-30-60-00-00	Franchise Tax	209,872	215,623	210,659	212,930	212,930	218,576	335,468
Other Taxes		**209,872**	**215,623**	**210,659**	**212,930**	**212,930**	**218,576**	**335,468**
Charges for Service								
101-30-61-00-00	Comcast PEG Access Fees	22,698	22,528	21,994	22,500	22,500	22,500	22,500
101-30-75-00-00	Fire Inspection Fees	1,100	-	1,375	-	-	-	-
101-31-21-00-00	Building Inspection Fees	-	-	-	-	-	-	-
101-31-22-00-00	Building Admin Fees	-	-	-	-	-	-	-
101-31-23-00-00	Other Fire Fees	2,850	-	2,850	-	-	5,350	-
101-33-10-00-00	Planning Fees	-	-	-	-	-	-	-
101-33-30-00-00	Sales Of Maps/Publications	210	59	108	150	150	25	150
101-33-50-00-00	Police Services	33,439	19,168	7,002	30,000	30,000	50,532	30,000
101-33-60-00-00	Administrative Fees	-	-	-	-	-	75	-
101-33-70-00-00	Planning Fees	(53,936)	-	6,000	-	-	-	-
101-33-80-00-00	Engineering Fees	1,800	675	-	-	-	75	-
Charges for Service		**8,161**	**42,430**	**39,329**	**52,650**	**52,650**	**78,557**	**52,650**
Fines and Forfeits								
101-31-40-00-00	Vehicle Code Fines	28,136	22,446	24,974	27,583	27,583	27,583	28,000
101-31-50-00-00	Other Police Fines	36,260	24,821	8,917	28,279	28,279	28,279	25,000
101-31-55-00-00	A/R Late Penalty	3,959	215	144	500	500	300	500
101-33-63-00-00	Civil Penalties	149,264	92,700	-	45,000	45,000	-	45,000
101-34-20-00-00	Library Fines & Fees	4,087	86	-	-	-	-	-
Fines and Forfeits		**221,705**	**140,267**	**34,035**	**101,362**	**101,362**	**56,162**	**98,500**
Licenses and Permits								
101-30-70-00-00	Application & Permit Fees	5,475	4,250	3,375	5,500	5,500	2,500	2,000
101-30-80-00-00	Business License	156,715	155,021	149,069	154,896	154,896	125,000	100,000
101-30-81-00-00	Business License Penalty	1,555	798	619	1,332	1,332	500	1,000
101-31-20-00-00	Building Permits	482,404	552,044	587,287	450,281	450,281	460,000	500,000
101-33-15-00-00	Short Term Rental Permit	15,750	31,500	20,250	27,500	27,500	27,500	35,000
101-33-74-00-00	Planning App & Permit Fees	180,329	85,429	111,100	75,000	75,000	75,000	75,000
101-33-84-00-00	Public Works App & Permit Fees	39,300	41,175	54,300	37,132	37,132	52,450	38,000
101-33-86-00-00	Well Permit Fee	2,600	2,600	-	1,300	1,300	650	1,300
Licenses and Permits		**884,127**	**872,817**	**926,000**	**752,941**	**752,941**	**743,600**	**752,300**
Development Fees								
101-33-81-00-00	Public Works Land & Dev Fees	25,600	19,360	20,800	20,325	20,325	20,325	10,000
Development Fees		**25,600**	**19,360**	**20,800**	**20,325**	**20,325**	**20,325**	**10,000**

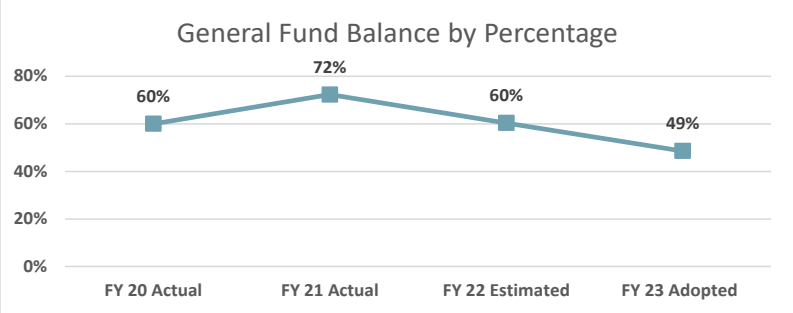
General Fund Revenues

Account	Description	Actual 2019	Actual 2020	Actual 2021	Adopted 2022	Adjusted 2022	Estimated 2022	Adopted 2023
Intergovernmental								
101-32-10-00-00	Motor Vehicle In-Lieu	2,937	-	-	3,255	3,255	3,255	-
101-32-70-00-00	County Fire Contract	48,855	48,855	48,855	48,855	48,855	48,855	48,855
101-32-80-00-00	Emergency Relief	269,490	120,930	952,591	-	-	996,456	-
101-34-61-49-00	Contrib from Gov - Police	9,221	8,484	-	-	-	8,484	-
101-34-71-00-00	Reimb State Mandated Costs	4,538	1,647	5,489	2,040	2,040	2,040	5,000
101-34-73-00-00	Other State Revenue	18	1,355	13	-	-	-	-
101-34-75-00-00	Restitution	181,227	200	26	-	-	-	-
101-36-80-00-00	Library Abatement	3,877	3,302	5,522	3,746	3,746	3,746	3,750
101-38-70-00-00	Allocation from Other Agency	1,948	-	-	-	-	-	-
Intergovernmental		**522,112**	**184,773**	**1,012,496**	**57,896**	**57,896**	**1,062,836**	**57,605**
Interest and Rents								
101-31-70-00-00	Investment Earnings	262,296	215,290	(97,343)	70,000	70,000	70,000	50,000
101-34-76-00-00	Cash Overage/Shortage	22	61	-	-	-	90	-
101-31-75-00-00	Interest Income	(93)	-	-	-	-	-	-
101-36-10-00-00	Rental Income	153,805	89,101	79,904	73,868	73,868	86,366	13,260
101-36-12-00-00	Rec Programs Facility Rental	865	-	-	-	-	-	-
101-36-11-00-00	Tennis Court Rentals	1,225	750	-	1,425	1,425	300	500
Interest and Rents		**418,120**	**305,202**	**(17,438)**	**145,293**	**145,293**	**156,756**	**63,760**
Miscellaneous								
101-33-20-00-00	Legal Cost Recovery	32,726	-	-	10,000	10,000	-	-
101-33-21-00-00	Storm Drain Cost Recovery	-	-	-	-	-	-	-
101-33-40-00-00	Other Filing/Certification Fee	-	200	-	165	165	165	-
101-34-22-00-00	Library Copies	2,946	1,585	-	3,030	3,030	1,500	1,000
101-34-23-00-00	Library Lost Material	617	500	-	500	500	500	300
101-34-24-00-00	Library Room Rental	305	150	-	354	354	354	-
101-34-31-00-00	Donations	-	300	-	-	-	1,000	-
101-34-31-48-00	Donations - Fire Department	-	-	4,000	-	-	-	-
101-34-31-49-00	Donations - Police Department	-	-	1,500	-	-	-	-
101-34-51-00-00	Sale of Capital Assets	1,155	3,795	633	-	-	6,687	-
101-34-60-00-00	Contributions from non-govt	-	-	-	-	-	-	-
101-34-61-00-00	Contributions from Government	-	-	1,058,502	575,000	729,864	729,864	-
101-34-61-46-00	Contributions from Gov - Library	-	2,000	500	-	-	1,000	-
101-34-70-00-00	Other Revenue	123,934	41,033	39,123	55,000	55,000	99,256	55,000
101-34-70-22-47	Other Revenue - Jingle	-	4,389	-	-	-	-	-
101-34-70-47-00	Other Revenue - Recreation	-	-	123,996	120,000	120,000	148,000	120,000
101-34-70-47-01	Other Revenue	-	-	-	20,000	20,000	-	-
101-34-74-00-00	Insurance Refund	-	1,244	-	-	-	-	-
101-39-98-00-00	Operating Transfers In	15,319	5,367	834,123	1,972	1,972	4,486	172,715
Miscellaneous		**182,495**	**60,562**	**2,062,376**	**786,021**	**940,885**	**992,812**	**349,015**
TOTALS		**16,032,990**	**14,270,828**	**16,579,356**	**15,675,690**	**16,678,441**	**17,801,432**	**17,286,421**

GENERAL FUND DEPARTMENT SUMMARY					
Fund	**Description**	**FY 20 Actual**	**FY 21 Actual**	**FY 22 Estimated**	**FY 23 Adopted**
4000	Non Departmental	2,008,124	2,711,682	3,211,499	3,896,516
4100	City Council	285,976	266,762	434,887	392,708
4200	City Administration	1,018,991	1,027,260	733,280	924,603
4300	Finance/HR/IT	497,387	414,335	883,923	1,081,673
4400	Attorney	241,597	263,017	386,000	386,000
4500	Planning/Building	948,466	1,121,499	1,490,235	1,112,778
4600	Library	994,165	948,576	1,019,271	934,708
4728	Parks & Recreation	272,787	594,378	701,597	901,774
4800	Fire	1,611,368	2,167,469	2,006,801	2,063,312
4900	Police	3,024,444	2,987,085	3,325,398	3,639,929
5000	Public Works	3,287,852	2,066,187	3,069,445	3,316,359
Grand Total		**14,191,158**	**14,568,251**	**17,262,336**	**18,650,360**

GENERAL FUND ESTIMATED FUND BALANCE	
Estimated Fund Balance 6/30/22	10,415,771
Revenues	17,286,421
Expenses	(18,650,360)
Use of Reserves	(1,363,939)
Estimated Fund Balance 6/30/23	9,051,832
Percentage Fund Balance	**49%**





Administration Departments

City Council

City Council

Geoff Ellsworth – Mayor

Paul Dohring – Vice Mayor

Anna Chouteau – Council Member

Lester Hardy – Council Member

Eric Hall – Council Member

City Council (4100)

Budget 2022-23

Purpose

The City Council is the governing body of the City of St. Helena and has the power to make and enforce all laws related to municipal affairs, subject only to the limitation of the City Code and the State Constitution. The Council is responsible for the formulation of policy, enactment for legislation, control of revenues, and the appropriation of funds.

Vision Statement

St. Helena strives to be a diverse, inclusive, family-friendly, economically and environmentally sustainable community which prudently manages all of its resources, continues to improve its infrastructure, ensures its water security, provides a full range of housing, business, cultural and recreational opportunities and cherishes its historic, small-town character, beautiful natural environment and high quality of life.

3-Year Goals

- Improve and Maintain Safe and Reliable City Infrastructure with a Commitment to Environmental Stewardship, Public Health, and Public Safety
- Stabilize, Maintain and Improve Access to Housing
- Enhance Organizational Performance, Communications, and Commit to Full Public Participation and Regional Collaboration
- Ensure Long-Term Economic Sustainability while Supporting St. Helena's Charm and Rural Character
- Support Thriving Families and Enhance the Safety, Well-Being, and Healthy Development of our Youth
- Support Initiatives that respond to and plan for Climate Change

Accomplishments

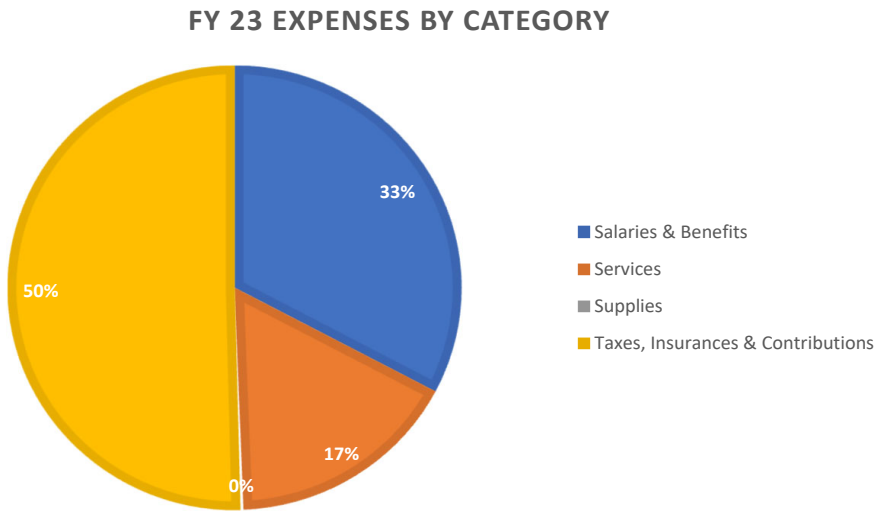
- Authorized the appointment of the City's next City Manager, Anil Comelo.
- Adopted a resolution declaring a climate emergency committing to provide leadership and services to achieve its goal of net zero climate pollution by 2030.
- Authorized three new full-time positions to substantially enhance the City's capacity to execute and deliver the elements of the City Council's Work Plan. The positions are: Assistant City Manager, Management Analyst for the Administrative Services Department, and a Treatment Plant Operator which will oversee both the Water and Wastewater systems.
- Initiated a Youth Representative pilot program to provide youth an opportunity to share their authentic voices to community leaders
- Authorized four additional full-time firefighter positions to provide station coverage 24 hours a day, 7 days a week.
- Approved a conservation easement for the Flood Control Project which was the final step to release a $237,000 retention from the Department of Water Resources and closed out the Flood Control Project.
- Appointed of Water and Wastewater Rate Study Advisory Committee
- Authorized placing of a ballot measure on the June 7, 2022 ballot for the issuance of GO Bonds for critical City infrastructure projects which has an apparent passage of 75%.
- Authorized $9.3 million in financing for the Wastewater Treatment Plant Phase I upgrade project
- Authorized a $250,000 permanent loan to Our Town St. Helena to assist with the development of four new affordable housing units in St. Helena.

City Council

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	285,976	266,762	434,887	392,708
561	Water Enterprise	18,057	16,480	21,198	21,927
571	Sewer Enterprise	18,057	16,480	21,198	21,927
751	Affordable Housing	25,000	-	-	-
752	Fund	-	-	-	10,000
Grand Total		**347,089**	**299,723**	**477,282**	**446,562**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
41	***City Council***				
20	Salaries & Benefits	120,380	109,869	141,317	146,177
21	Services	49,017	51,701	128,285	74,300
22	Supplies	176	1,255	4,219	1,000
24	Taxes, Insurances & Contributions	177,516	136,897	203,461	225,085
Grand Total		**347,089**	**299,723**	**477,282**	**446,562**



City Council Budget - 4100

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
41	**Council**				
101-41-00-20-20	Temp/Part Time	12,600	12,600	12,600	12,600
101-41-00-20-40	FICA/Medicare	1,133	964	1,253	1,253
101-41-00-20-55	Health Insurance	67,961	62,977	80,903	84,304
101-41-00-20-75	Deferred Comp	2,573	368	4,166	4,166
20	**Salaries & Benefits**	**84,267**	**76,909**	**98,922**	**102,323**
101-41-00-21-10	Communications	2,436	2,340	2,900	2,900
101-41-00-21-15	Postage	1	15	100	100
101-41-00-21-40	Professional Fees	29,811	37,487	101,285	28,000
101-41-00-21-45	Other Contract Services	1,602	1,350	5,100	21,000
101-41-00-21-53	Memberships & Publications	5,084	4,583	6,800	6,800
101-41-00-21-55	Training & Conference	10,084	5,927	12,100	15,500
21	**Services**	**49,017**	**51,701**	**128,285**	**74,300**
101-41-00-22-12	Computer Equipment	-	741	-	-
101-41-00-22-13	Office Supplies	91	97	500	500
101-41-00-22-15	Special Department Supplies	85	417	3,719	500
22	**Supplies**	**176**	**1,255**	**4,219**	**1,000**
101-41-00-24-05	Contributions	152,516	136,897	203,461	215,085
24	**Taxes, Insurances & Contributions**	**152,516**	**136,897**	**203,461**	**215,085**
00	**Administration**	**285,976**	**266,762**	**434,887**	**392,708**
561	**Water Enterprise**				
41	**Council**				
561-41-00-20-20	Temp/Part Time	2,700	2,700	2,700	2,700
561-41-00-20-40	FICA/Medicare	243	206	269	269
561-41-00-20-55	Health Insurance	14,563	13,495	17,336	18,065
561-41-00-20-75	Deferred Comp	551	79	893	893
20	**Salaries & Benefits**	**18,057**	**16,480**	**21,198**	**21,927**
00	**Administration**	**18,057**	**16,480**	**21,198**	**21,927**
571	**Sewer Enterprise**				
41	**Council**				
571-41-00-20-20	Temp/Part Time	2,700	2,700	2,700	2,700
571-41-00-20-40	FICA/Medicare	243	206	269	269
571-41-00-20-55	Health Insurance	14,563	13,495	17,336	18,065
571-41-00-20-75	Deferred Comp	551	79	893	893
20	**Salaries & Benefits**	**18,057**	**16,480**	**21,198**	**21,927**
00	**Administration**	**18,057**	**16,480**	**21,198**	**21,927**

City Council Budget - 4100

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
751	**Affordable Housing**				
41	**Council**				
751-41-00-24-05	Contributions	25,000	-	-	-
24	**Taxes, Insurances & Contributions**	**25,000**	**-**	**-**	**-**
00	**Administration**	**25,000**	**-**	**-**	**-**
752	**Measure E**				
41	**Council**				
752-41-00-24-05	Contributions	-	-	-	10,000
24	**Taxes, Insurances & Contributions**	**-**	**-**	**-**	**10,000**
00	**Administration**	**-**	**-**	**-**	**10,000**
Grand Total		**347,089**	**299,723**	**477,282**	**446,562**

CITY COUNCIL BUDGET - 4100
EXPENSE DETAIL

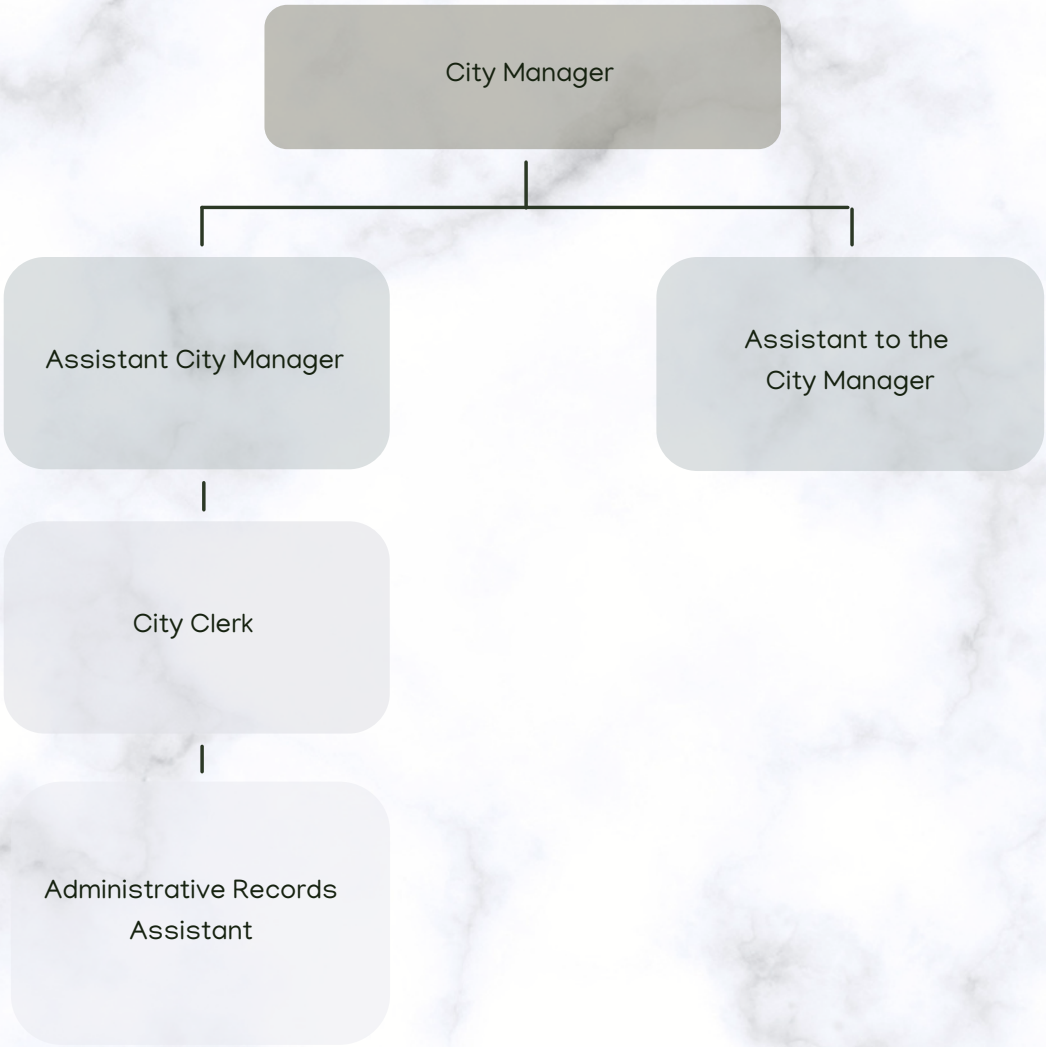
Description	Object Code	Funding Source		Total Budgeted
Professional Fees	*2140*	*101*		
Public Engagement - Goal Setting		5,000		5,000
Public Engagement - Good Governance		5,000		5,000
Planning Commission - Governance		2,500		2,500
Diversity & Inclusion Awareness Training		5,000		5,000
Translation Services		5,000		5,000
Youth Initiative		2,500		2,500
Miscellaneous Services		3,000		3,000
TOTAL - Professional Fees	***2140***	***$ 28,000***		***$ 28,000***
Other Contract Services	*2145*	*101*		
Climate Action Committee JPA		$ 6,000		$ 6,000
FY23 Climate Action Initiatives		$ 15,000		$ 15,000
TOTAL - Other Contract Services	***2140***	***$ 21,000***		***$ 21,000***
Memberships & Publications	*2153*	*101*		
League of California Cities		5,500		5,500
NCLOG		300		300
Miscellaneous		1,000		1,000
TOTAL - Memberships & Publications	***2153***	***$ 6,800***		***$ 6,800***
Training and Conferences	*2155*	*101*		
NCLOG Meetings		4,000		4,000
League of California Cities		7,500		7,500
Boards, Commissions, Committees Appreciation		4,000		4,000
TOTAL - Training and Conferences	***2155***	***$ 15,500***		***$ 15,500***
Contributions	*2405*	*101*	*752*	
Community Enrichment Grants				
Cafeteria Kids Theater		1,000		1,000
Cinema Napa Valley		2,500		2,500
Collabria Care		10,000		10,000
Friends of the Cameo		8,250		8,250
Mentis		15,000		15,000
Napa County Bicycle Coalition		5,500		5,500
Nimbus Arts		5,000		5,000
Our Town St. Helena			10,000	10,000
St. Helena Catholic Church		10,000		10,000
St. Helena Community Garden		2,460		2,460
St. Helena Cooperative Nursery		10,000		10,000
St. Helena Farmers Market		8,775		8,775
St. Helena Fire Safe Council		7,500		7,500
St. Helena Historical Society		10,000		10,000

CITY COUNCIL BUDGET - 4100
EXPENSE DETAIL

Description	Object Code	Funding Source		Total Budgeted
St. Helena Little League		7,500		7,500
St. Helena Preschool for All		10,000		10,000
Sustainable St. Helena		4,000		4,000
The White Barn		2,600		2,600
UpValley Family Centers		5,000		5,000
Programmatic Grants				
Boys & Girls Clubs of St. Helena & Calistoga		30,000		30,000
Rianda House Senior Activity Center		30,000		30,000
Up Valley Family Centers		30,000		30,000
TOTAL - Contributions	***2405***	***$ 215,085***	***$ 10,000***	***$ 225,085***

Administration

Administration Organizational Chart



Department Codes:

- 4200 – City Manager
- 4210 – City Clerk

City Manager

City Manager (4200)
Budget 2022-23

Purpose

The City Manager is responsible for providing general administrative management of the City; acting as a liaison between the City Council and Staff; carrying out, on behalf of the City Council, its policies, rules, regulations and laws; overseeing the delivery of public service; reviewing and approving staff reports for Council meetings.

The City Manager serves as the administrative head of the City of St. Helena overseeing the general administrative management of the City. The City Manager is responsible for implementing policies, rules, regulations and laws adopted by the City Council and for the overall management of the City's approximately 100 employees. City Management staff, including the Administrative Services Director, Police Chief, Public Works Director, Planning & Building Director, Library Director, Recreation Director, and the Assistant to the City Manager report to the City Manager, who in turn re-ports directly to the elected Mayor and City Council.

Accomplishments

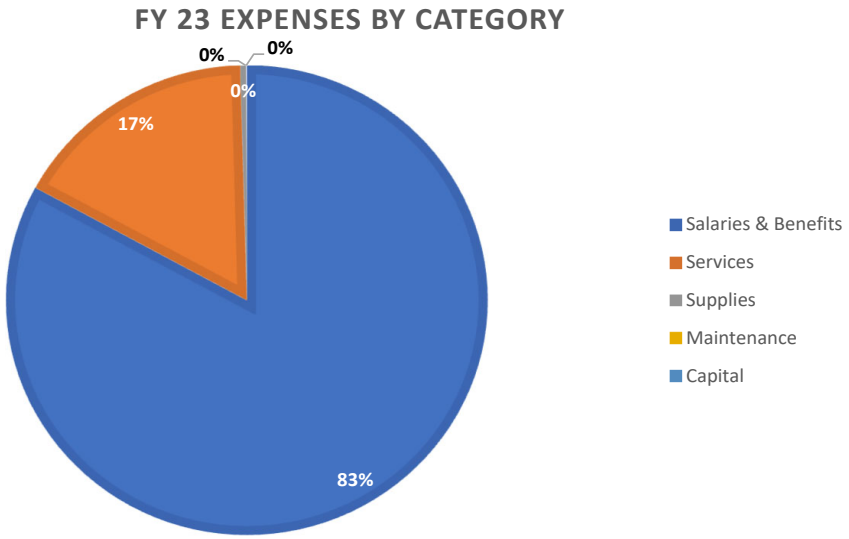
- Presented for adoption a balanced FY 2022-23 budget
- Successfully negotiated a lease agreement between the Napa Valley College and City to relocate the City Hall and Police Department into one building.
- Successful bid out the Napa Valley College Tenant Improvement Project (C22-0001) in preparation for the relocation of the City Hall and Police Department.
- Successfully conducted opinion research regarding infrastructure challenges.
- Provided educational support Measure H: GO Bond by holding informational sessions to the community.
- Provided leadership during the City Manager transition by hiring an interim City Manager and providing support to successfully find a permanent City Manager.
- Worked with the St. Helena Community to complete the analysis of St. Helena Vine Trail route options and facilitated Council decision making on preferred route.
- Presented and commenced initiatives outlined in the St. Helena Business Recovery Strategy
- Assisted with the passage of an Integrated Pest Management Policy to support the City Council's commitment to sustainability.

City Manager

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	322,308	294,595	414,830	617,059
561	Water Enterprise	88,107	128,783	133,010	245,284
571	Sewer Enterprise	66,081	83,235	85,653	160,445
Grand Total		**476,495**	**506,613**	**633,494**	**1,022,788**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
42	***Administration***				
20	Salaries & Benefits	440,536	463,537	473,569	848,388
21	Services	34,142	43,016	155,425	169,900
22	Supplies	1,206	60	4,000	3,750
23	Maintenance	612	-	-	-
26	Capital	-	-	500	750
Grand Total		**476,495**	**506,613**	**633,494**	**1,022,788**



City Manager Budget - 4200

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
42	**Administration**				
101-42-00-20-10	Salary-Regular	199,843	171,555	174,340	309,881
101-42-00-20-40	FICA/Medicare	12,835	11,381	11,641	18,705
101-42-00-20-45	Employer PERS	13,305	12,296	12,531	22,717
101-42-00-20-47	PERS Unfunded Liability	23,617	25,450	24,844	33,955
101-42-00-20-55	Health Insurance	24,490	17,615	18,402	39,339
101-42-00-20-61	Workers Comp	2,390	4,335	4,267	5,870
101-42-00-20-65	SDI	1,502	1,493	1,650	2,480
101-42-00-20-75	Deferred Comp	2,951	2,911	2,789	4,072
101-42-00-20-85	Auto Allowance	5,415	4,483	4,440	5,640
20	**Salaries & Benefits**	**286,348**	**251,519**	**254,905**	**442,659**
101-42-00-21-10	Communications	9,835	12,850	12,400	18,600
101-42-00-21-15	Postage	279	46	300	300
101-42-00-21-45	Other Contract Services	16,098	28,113	128,975	125,000
101-42-00-21-53	Memberships & Publications	1,800	1,800	4,100	6,700
101-42-00-21-55	Training & Conference	6,131	79	9,650	19,300
101-42-00-21-56	Admin Recruitment	-	128	-	-
21	**Services**	**34,142**	**43,016**	**155,425**	**169,900**
101-42-00-22-13	Office Supplies	503	-	1,000	750
101-42-00-22-15	Special Department Supplies	703	60	3,000	3,000
22	**Supplies**	**1,206**	**60**	**4,000**	**3,750**
101-42-00-23-35	Software Maintenance	612	-	-	-
23	**Maintenance**	**612**	**-**	**-**	**-**
101-42-00-26-40	Furniture & Fixtures	-	-	500	750
26	**Capital**	**-**	**-**	**500**	**750**
00	**Administration**	**322,308**	**294,595**	**414,830**	**617,059**
561	**Water Enterprise**				
42	**Administration**				
561-42-00-20-10	Salary-Regular	61,490	87,358	90,657	171,284
561-42-00-20-40	FICA/Medicare	3,949	5,617	5,897	10,082
561-42-00-20-45	Employer PERS	4,094	6,349	6,599	12,683
561-42-00-20-47	PERS Unfunded Liability	7,267	13,359	13,084	18,957
561-42-00-20-55	Health Insurance	7,535	9,379	10,019	22,546
561-42-00-20-61	Workers Comp	735	2,168	2,134	3,118
561-42-00-20-65	SDI	462	730	823	1,327
561-42-00-20-75	Deferred Comp	908	1,454	1,397	2,167
561-42-00-20-85	Auto Allowance	1,666	2,370	2,400	3,120
20	**Salaries & Benefits**	**88,107**	**128,783**	**133,010**	**245,284**
00	**Administration**	**88,107**	**128,783**	**133,010**	**245,284**
571	**Sewer Enterprise**				
42	**Administration**				
571-42-00-20-10	Salary-Regular	46,118	56,421	58,325	111,970

City Manager Budget - 4200

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
571-42-00-20-40	FICA/Medicare	2,962	3,602	3,767	6,549
571-42-00-20-45	Employer PERS	3,070	4,117	4,260	8,312
571-42-00-20-47	PERS Unfunded Liability	5,450	8,640	8,447	12,423
571-42-00-20-55	Health Insurance	5,652	6,135	6,524	14,870
571-42-00-20-61	Workers Comp	552	1,379	1,358	2,018
571-42-00-20-65	SDI	347	467	523	860
571-42-00-20-75	Deferred Comp	681	926	890	1,403
571-42-00-20-85	Auto Allowance	1,250	1,548	1,560	2,040
20	**Salaries & Benefits**	**66,081**	**83,235**	**85,653**	**160,445**
00	**Administration**	**66,081**	**83,235**	**85,653**	**160,445**
Grand Total		**476,495**	**506,613**	**633,494**	**1,022,788**

CITY MANAGER BUDGET - 4200
EXPENSE DETAIL

Description	Object Code	Funding Source and Amount Per Funding Source			Total Budgeted
Other Contract Services	*2145*	*101*	*561*	571	
Ballot Measure Polling		35,000	-	-	35,000
Diversity and Inclusion		45,000	-	-	45,000
Miscellaneous Contracts		40,000	-	-	40,000
Executive Retreat		5,000			5,000
TOTAL - Other Contract Services	***2145***	***$ 125,000***	***$ -***	***$ -***	***$ 125,000***
Memberships & Publications	*2153*	*101*	*561*	571	
CCMF		800	-	-	800
ICMA		4,000	-	-	4,000
MMANC		400	-	-	400
Misc. for Assistant To CM		1,500	-	-	1,500
TOTAL - Memberships & Publications	***2153***	***$ 6,700***	***$ -***	***$ -***	**$ 6,700**
Training and Conferences	*2155*	*101*	*561*	571	
ICMA		7,000	-	-	7,000
City Manager Training		8,000	-	-	8,000
League of California Cities		3,600	-	-	3,600
Misc. Training		700	-	-	700
TOTAL - Training and Conferences	***2155***	***$ 19,300***	***$ -***	***$ -***	**$ 19,300**

City Clerk

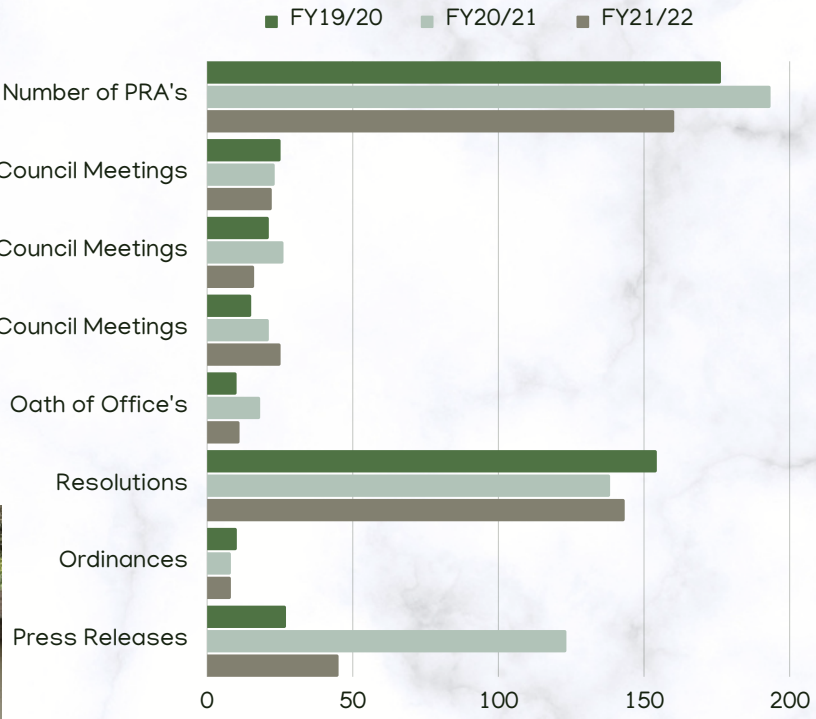
City Clerk (4210)

Budget 2022-23

Purpose

The City Clerk is responsible for the preparation of Council Agendas, Brown Act compliance, records management, Fair Political Practices Commission (FPPC) reporting requirements, and assistance to the City Council.

The City Clerk serves as a resource to the community, to provide the highest level of customer service to the City Council, City staff and the general public. The City Clerk ensures that the legislative process is transparent and accessible and, is the custodian of records and Official Seal for the City, accurate record documentation and information. The City Clerk is also responsible for administering the election process, managing the Fair Political Practice Commission's campaign finance disclosure filings and Statements of Economic Interests, coordinating public records requests, and acting as the primary liaison to the City-Appointed Commissions and Committees.

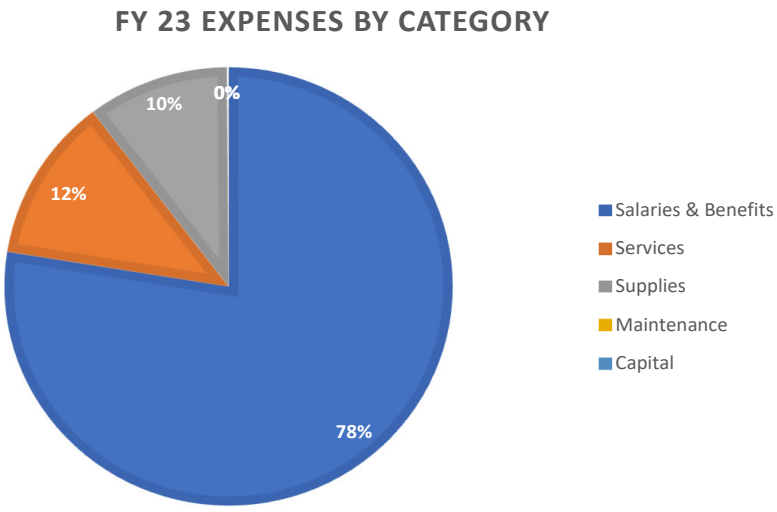


City Clerk

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	311,354	327,935	300,948	307,544
561	Water Enterprise	49,647	44,865	49,887	54,319
571	Sewer Enterprise	39,519	33,966	37,755	41,670
Grand Total		**400,519**	**406,766**	**388,591**	**403,533**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
42	***Administration***				
20	Salaries & Benefits	299,284	295,726	304,590	312,898
21	Services	95,993	61,699	42,200	48,835
22	Supplies	4,329	49,341	41,300	41,300
23	Maintenance	408	-	-	-
26	Capital	505	-	500	500
Grand Total		**400,519**	**406,766**	**388,591**	**403,533**



City Clerk Budget - 4210

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
42	**Administration**				
101-42-10-20-10	Salary-Regular	148,719	149,427	151,244	160,213
101-42-10-20-40	FICA/Medicare	11,556	11,618	11,749	12,435
101-42-10-20-45	Employer PERS	9,997	11,084	11,038	11,596
101-42-10-20-47	PERS Unfunded Liability	16,855	22,238	21,884	17,332
101-42-10-20-55	Health Insurance	28,990	19,920	21,506	22,222
101-42-10-20-61	Workers Comp	7,354	5,912	5,819	5,503
101-42-10-20-65	SDI	1,448	1,630	1,783	1,762
101-42-10-20-75	Deferred Comp	2,461	2,558	2,467	2,467
101-42-10-20-85	Auto Allowance	1,920	1,920	1,920	1,920
20	**Salaries & Benefits**	**229,299**	**226,306**	**229,410**	**235,450**
101-42-10-21-05	Advertising	8,518	11,603	5,800	5,800
101-42-10-21-45	Other Contract Services	61,120	38,741	17,978	18,534
101-42-10-21-53	Memberships & Publications	2,075	1,944	2,340	2,340
101-42-10-21-55	Training & Conference	6,362	-	3,620	3,620
21	**Services**	**78,075**	**52,288**	**29,738**	**30,294**
101-42-10-22-12	Computer Equipment	631	-	-	-
101-42-10-22-13	Office Supplies	706	8	1,000	1,000
101-42-10-22-14	Election Expense	1,730	49,306	40,000	40,000
101-42-10-22-15	Special Department Supplies	-	27	300	300
22	**Supplies**	**3,067**	**49,341**	**41,300**	**41,300**
101-42-10-23-35	Software Maintenance	408	-	-	-
23	**Maintenance**	**408**	**-**	**-**	**-**
101-42-10-26-40	Furniture & Fixtures	505	-	500	500
26	**Capital**	**505**	**-**	**500**	**500**
10	**Administration**	**311,354**	**327,935**	**300,948**	**307,544**
561	**Water Enterprise**				
42	**Administration**				
561-42-10-20-10	Salary-Regular	26,420	26,465	26,980	28,731
561-42-10-20-40	FICA/Medicare	2,048	2,053	2,091	2,225
561-42-10-20-45	Employer PERS	1,718	1,902	1,912	2,013
561-42-10-20-47	PERS Unfunded Liability	2,897	3,838	3,791	3,008
561-42-10-20-55	Health Insurance	4,621	3,481	6,777	7,031
561-42-10-20-61	Workers Comp	1,471	1,182	1,164	1,101
561-42-10-20-65	SDI	260	290	320	316
561-42-10-20-75	Deferred Comp	381	396	382	382
561-42-10-20-85	Auto Allowance	240	240	240	240
20	**Salaries & Benefits**	**40,056**	**39,848**	**43,656**	**45,047**
561-42-10-21-45	Other Contract Services	8,443	5,017	5,361	8,402
561-42-10-21-55	Training & Conference	517	-	870	870
21	**Services**	**8,959**	**5,017**	**6,231**	**9,272**

City Clerk Budget - 4210

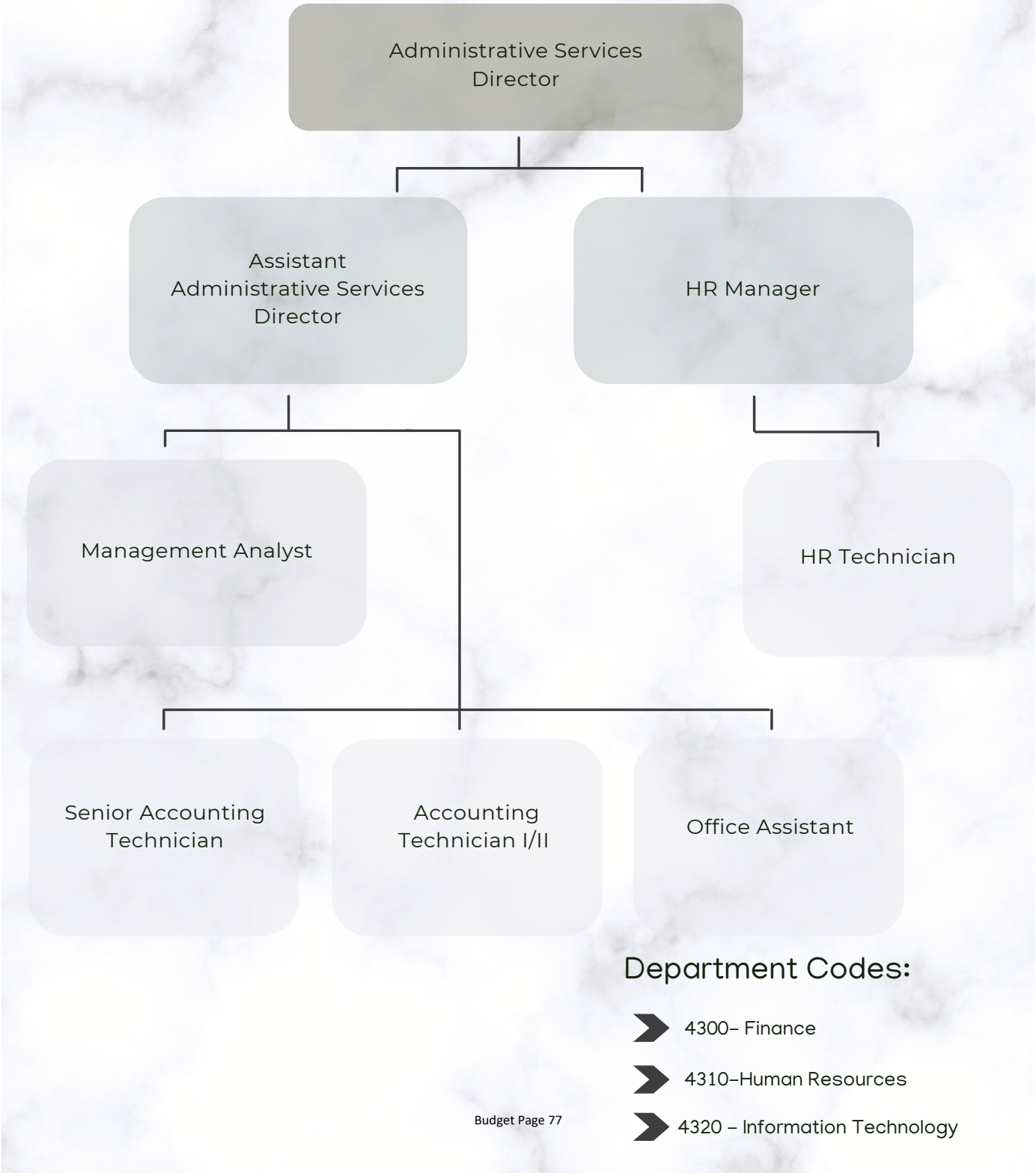
Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
561-42-10-22-12	Computer Equipment	631	-	-	-
22	**Supplies**	**631**	**-**	**-**	**-**
10	**Administration**	**49,647**	**44,865**	**49,887**	**54,319**
571	**Sewer Enterprise**				
42	**Administration**				
571-42-10-20-10	Salary-Regular	19,460	19,544	19,803	20,994
571-42-10-20-40	FICA/Medicare	1,512	1,519	1,538	1,629
571-42-10-20-45	Employer PERS	1,302	1,443	1,439	1,512
571-42-10-20-47	PERS Unfunded Liability	2,195	2,897	2,853	2,260
571-42-10-20-55	Health Insurance	3,734	2,600	4,326	4,484
571-42-10-20-61	Workers Comp	980	788	776	734
571-42-10-20-65	SDI	190	213	234	231
571-42-10-20-75	Deferred Comp	316	328	317	317
571-42-10-20-85	Auto Allowance	240	240	240	240
20	**Salaries & Benefits**	**29,928**	**29,572**	**31,524**	**32,401**
571-42-10-21-45	Other Contract Services	8,443	4,394	5,361	8,399
571-42-10-21-55	Training & Conference	517	-	870	870
21	**Services**	**8,959**	**4,394**	**6,231**	**9,269**
571-42-10-22-12	Computer Equipment	631	-	-	-
22	**Supplies**	**631**	**-**	**-**	**-**
10	**Administration**	**39,519**	**33,966**	**37,755**	**41,670**
Grand Total		**400,519**	**406,766**	**388,591**	**403,533**

CITY CLERK BUDGET - 4210
EXPENSE DETAIL

Description	Object Code	Funding Source and Amount Per Funding Source			Total Budgeted
Other Contract Services	*2145*	*101*	*561*	571	
Southtech - Form 700 Annual Renewal		525	-	-	525
Southtech - Campaign Documents		850	-	-	850
iCompass City Council/Planning Annual Renewal Web Streaming		5,504	688	688	6,880
iCompass Board Manager		567	567	566	1,700
iCompass City Council/Planning Annual Renewal Agenda Management/Additional Tracker		4,000	500	500	5,000
iCompass PRA Module Annual Renewal		504	63	63	630
ECS - Public Facing Laserfiche Link Annual Renewal		1,700	1,700	1,700	5,100
ECS - Quickfields Annual Renewal		267	267	266	800
ECS (laserfiche) Annual Renewal		4,617	4,617	4,616	13,850
TOTAL - Other Contract Services	***2145***	***$ 18,534***	***$ 8,402***	***$ 8,399***	***$ 35,335***
Memberships & Publications	*2153*	*101*	*561*	571	
IIMC		400	-	-	400
CCAC		200	-	-	200
MMANC		100	-	-	100
ARMA		200	-	-	200
County of Napa Official Records Index and Document Images (split with PW Admin and Planning)		1,440	-	-	1,440
TOTAL - Memberships & Publications	***2153***	***$ 2,340***	***$ -***	***$ -***	**$ 2,340**

Administrative Services

Organizational Chart
Admin. Services



Department Codes:

- 4300– Finance
- 4310–Human Resources
- 4320 – Information Technology

Administrative Services (4300)

Budget 2022-23

Finance Purpose

The Finance Department is responsible for providing financial management of all City Funds, grants management, and administrating internal service functions for all departments. Major activities include: maintaining the City's investment program and providing necessary financing for capital needs; preparing management and financial analysis reports; developing the Annual Budget; grant contract review, verification of grant reimbursements, and audit closeout; monitoring legislation affecting finances of the City; monitoring the City's risk management needs; administration of the Business License Ordinance; and maintaining & collection of the City's Transient Occupancy Tax (TOT).

Other activities include billing and collection services for City water and sewer utilities, business licenses, parking citations, miscellaneous receivables, and purchasing services.

Human Resources Purpose

The Human Resources is responsible for the recruitment of new employees, benefits, training, retirement, as well as managing Risk Management services for the City.

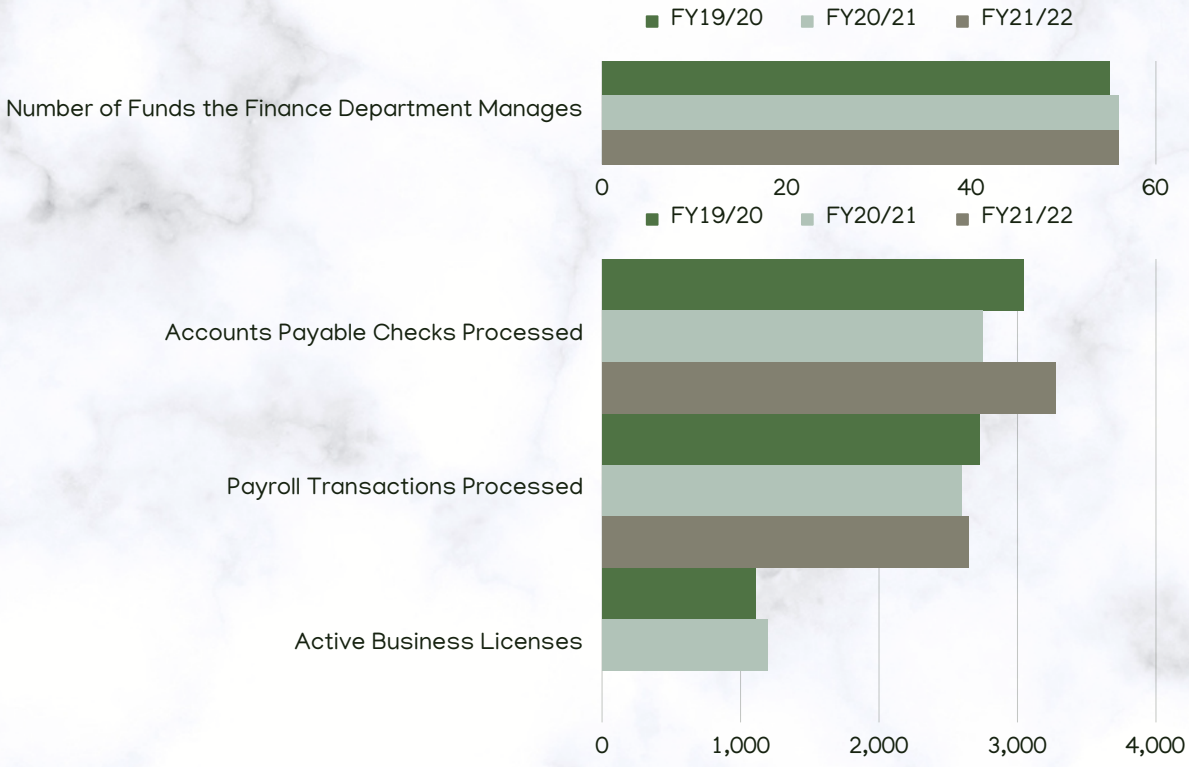
The City of St. Helena employs over 100 full-time and part-time employees. Our mission is to serve our community and attract and retain a strong workforce committed to serving the public. We provide a wide variety of positions from Police Officers to Librarians, Plant Operators and Administrative Assistants to Engineers. The City offers many challenging and fulling positions in one of the most beautiful communities in the world.

Finance Department Goals

- Manage the financial resources of the City, consistent with financial policies and budget principles established by the City Council.
- Provide timely budget and financial report to City departments to assist meeting departmental goals.
- Ensure sound budget and expenditure control oversight and reporting of the City's funds to protect the fiduciary interest of the community.
- Administer City expenditures in conformance with municipal code requirements for contracts and payables.

Finance Accomplishments

- In FY 2021/22, the City received a Distinguished Budget Presentation Award from the Government Finance Officer Association.
- In FY 2021/22, the Finance Department received the Certificate of Achievement for Excellence in Financial Reporting program for Fiscal Year ending June 30, 2019.
- In FY 2021/22, the Finance Department received an Award for Outstanding Achievement in Popular Annual Financial Reporting for the newly created Popular Annual Financial Report.
- Transition to Springbrook Software onto the current version on the Cloud.

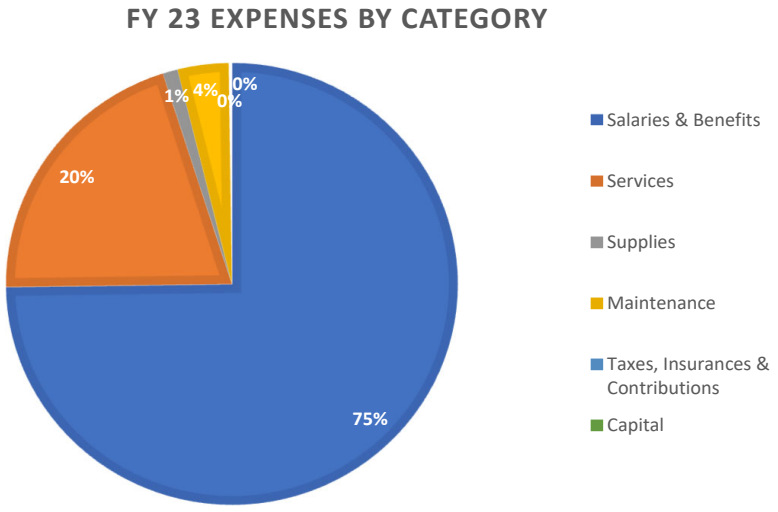


Finance

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	497,387	414,271	519,090	577,191
216	Public Safety Impact	133	6,739	811	-
235	Measure A	21,922	25,013	112,446	-
561	Water Enterprise	344,752	351,074	485,668	449,016
571	Sewer Enterprise	254,899	259,425	328,756	342,771
713	Civic Impact	133	6,739	1,843	-
740	Traffic Mitigation Impact	133	6,739	1,843	-
742	Storm Drain Improvement	133	6,739	811	-
752	Fund	-	15,414	-	-
764	Water Impact	133	6,739	1,843	-
774	Sewer Impact	133	6,739	1,843	-
Grand Total		**1,119,760**	**1,105,630**	**1,454,954**	**1,368,978**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
43	***Finance***				
20	Salaries & Benefits	768,491	736,907	860,501	1,023,804
21	Services	295,946	295,354	522,892	277,624
22	Supplies	19,256	7,943	14,700	14,700
23	Maintenance	33,247	63,145	53,761	49,750
24	Taxes, Insurances & Contributions	1,722	1,825	2,500	2,500
26	Capital	1,097	455	600	600
Grand Total		**1,119,760**	**1,105,630**	**1,454,954**	**1,368,978**



Finance Budget - 4300

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
43	**Finance**				
101-43-00-20-10	Salary-Regular	225,804	206,525	219,732	295,931
101-43-00-20-30	Overtime	333	692	1,000	1,000
101-43-00-20-40	FICA/Medicare	16,502	15,121	16,075	22,030
101-43-00-20-45	Employer PERS	14,591	14,434	17,640	23,342
101-43-00-20-47	PERS Unfunded Liability	27,756	34,016	34,974	34,888
101-43-00-20-55	Health Insurance	31,641	29,022	33,577	50,845
101-43-00-20-61	Workers Comp	9,511	7,252	7,138	8,584
101-43-00-20-65	SDI	1,994	2,056	2,236	3,094
101-43-00-20-75	Deferred Comp	3,438	3,207	3,153	4,408
101-43-00-20-85	Auto Allowance	2,840	2,530	2,520	3,720
20	**Salaries & Benefits**	**334,410**	**314,854**	**338,044**	**447,842**
101-43-00-21-10	Communications	3,302	2,046	2,100	2,500
101-43-00-21-15	Postage	3,566	7,162	3,000	5,000
101-43-00-21-30	Professional Contracts	39,541	18,224	58,675	11,000
101-43-00-21-42	Banking Fees	22,782	26,881	10,000	27,000
101-43-00-21-45	Other Contract Services	68,171	22,620	78,278	59,101
101-43-00-21-48	Government Fees	150	0	200	200
101-43-00-21-53	Memberships & Publications	843	861	1,271	1,271
101-43-00-21-55	Training & Conference	2,348	50	2,225	2,225
21	**Services**	**140,704**	**77,844**	**155,749**	**108,297**
101-43-00-22-12	Computer Equipment	1,495	-	-	-
101-43-00-22-13	Office Supplies	980	65	1,000	1,000
101-43-00-22-15	Special Department Supplies	8,125	1,761	4,000	4,000
22	**Supplies**	**10,600**	**1,826**	**5,000**	**5,000**
101-43-00-23-11	Maint Office Equip	-	-	1,500	1,500
101-43-00-23-35	Software Maintenance	11,307	19,570	18,597	14,352
23	**Maintenance**	**11,307**	**19,570**	**20,097**	**15,852**
101-43-00-24-25	Taxes & Other Charges	-	18	-	-
24	**Taxes, Insurances & Contributions**	**-**	**18**	**-**	**-**
101-43-00-26-40	Furniture & Fixtures	366	159	200	200
26	**Capital**	**366**	**159**	**200**	**200**
00	**Administration**	**497,387**	**414,271**	**519,090**	**577,191**
216	**Public Safety Impact**				
43	**Finance**				
216-43-00-21-45	Other Contract Services	133	6,739	811	-
21	**Services**	**133**	**6,739**	**811**	**-**
00	**Administration**	**133**	**6,739**	**811**	**-**

Finance Budget - 4300

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
235	**Measure A**				
43	**Finance**				
235-43-00-21-45	Other Contract Services	21,922	25,013	112,446	-
21	**Services**	**21,922**	**25,013**	**112,446**	**-**
00	**Administration**	**21,922**	**25,013**	**112,446**	**-**
561	**Water Enterprise**				
43	**Finance**				
561-43-00-20-10	Salary-Regular	176,371	150,899	171,527	216,892
561-43-00-20-20	Temp/Part Time	-	12,122	32,500	-
561-43-00-20-30	Overtime	325	711	1,000	1,000
561-43-00-20-40	FICA/Medicare	13,207	11,282	12,885	16,426
561-43-00-20-45	Employer PERS	11,268	10,588	13,067	16,411
561-43-00-20-47	PERS Unfunded Liability	19,701	25,180	25,907	24,529
561-43-00-20-50	Employee PERS	-	-	-	-
561-43-00-20-55	Health Insurance	27,151	22,110	41,487	48,971
561-43-00-20-61	Workers Comp	8,971	7,212	7,099	7,814
561-43-00-20-65	SDI	1,652	1,561	1,864	2,318
561-43-00-20-75	Deferred Comp	2,623	1,945	2,219	2,972
561-43-00-20-85	Auto Allowance	1,800	1,320	1,320	2,040
20	**Salaries & Benefits**	**263,068**	**244,930**	**310,876**	**339,373**
561-43-00-21-10	Communications	1,537	1,840	2,100	2,100
561-43-00-21-15	Postage	9,601	8,895	10,300	10,300
561-43-00-21-30	Professional Contracts	13,517	4,437	8,540	10,000
561-43-00-21-42	Banking Fees	22,543	27,325	24,300	24,300
561-43-00-21-44	Online Transaction Fee	1,558	-	3,000	3,000
561-43-00-21-45	Other Contract Services	15,139	37,880	101,029	34,300
561-43-00-21-53	Memberships & Publications	682	721	1,172	1,173
561-43-00-21-55	Training & Conference	1,349	45	2,470	2,470
21	**Services**	**65,926**	**81,142**	**152,910**	**87,643**
561-43-00-22-12	Computer Equipment	1,444	-	-	-
561-43-00-22-13	Office Supplies	517	65	850	850
561-43-00-22-15	Special Department Supplies	2,452	2,990	4,000	4,000
22	**Supplies**	**4,413**	**3,055**	**4,850**	**4,850**
561-43-00-23-35	Software Maintenance	10,970	21,788	16,832	16,950
23	**Maintenance**	**10,970**	**21,788**	**16,832**	**16,950**
561-43-00-24-25	Taxes & Other Charges	10	-	-	-
24	**Taxes, Insurances & Contributions**	**10**	**-**	**-**	**-**
561-43-00-26-40	Furniture & Fixtures	366	159	200	200
26	**Capital**	**366**	**159**	**200**	**200**
00	**Administration**	**344,752**	**351,074**	**485,668**	**449,016**

Finance Budget - 4300

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
571	**Sewer Enterprise**				
43	**Finance**				
571-43-00-20-10	Salary-Regular	114,435	115,026	128,013	151,809
571-43-00-20-20	Temp/Part Time	-	-	7,500	-
571-43-00-20-30	Overtime	319	603	1,000	1,000
571-43-00-20-40	FICA/Medicare	8,576	8,565	9,607	11,477
571-43-00-20-45	Employer PERS	7,161	7,961	9,667	11,369
571-43-00-20-47	PERS Unfunded Liability	12,559	18,702	19,166	16,992
571-43-00-20-55	Health Insurance	18,332	17,390	27,502	33,156
571-43-00-20-61	Workers Comp	6,030	5,242	5,159	5,613
571-43-00-20-65	SDI	1,079	1,188	1,393	1,618
571-43-00-20-75	Deferred Comp	1,563	1,496	1,613	2,115
571-43-00-20-85	Auto Allowance	960	950	960	1,440
20	**Salaries & Benefits**	**171,013**	**177,123**	**211,581**	**236,589**
571-43-00-21-10	Communications	1,479	1,840	1,800	1,800
571-43-00-21-15	Postage	9,601	6,382	9,700	5,478
571-43-00-21-30	Professional Contracts	13,877	4,437	12,430	10,000
571-43-00-21-42	Banking Fees	22,543	27,325	24,300	24,300
571-43-00-21-44	Online Transaction Fee	1,558	-	3,000	3,000
571-43-00-21-45	Other Contract Services	15,620	14,846	38,756	34,299
571-43-00-21-53	Memberships & Publications	629	648	1,012	1,012
571-43-00-21-55	Training & Conference	1,287	30	1,795	1,795
21	**Services**	**66,595**	**55,508**	**92,793**	**81,684**
571-43-00-22-12	Computer Equipment	1,431	-	-	-
571-43-00-22-13	Office Supplies	517	65	850	850
571-43-00-22-15	Special Department Supplies	2,296	2,997	4,000	4,000
22	**Supplies**	**4,244**	**3,062**	**4,850**	**4,850**
571-43-00-23-35	Software Maintenance	10,970	21,788	16,832	16,948
23	**Maintenance**	**10,970**	**21,788**	**16,832**	**16,948**
571-43-00-24-25	Taxes & Other Charges	1,713	1,808	2,500	2,500
24	**Taxes, Insurances & Contributions**	**1,713**	**1,808**	**2,500**	**2,500**
571-43-00-26-40	Furniture & Fixtures	366	136	200	200
26	**Capital**	**366**	**136**	**200**	**200**
00	**Administration**	**254,899**	**259,425**	**328,756**	**342,771**
713	**Civic Impact**				
43	**Finance**				
713-43-00-21-45	Other Contract Services	133	6,739	1,843	-
21	**Services**	**133**	**6,739**	**1,843**	**-**
00	**Administration**	**133**	**6,739**	**1,843**	**-**

Finance Budget - 4300

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
740	**Traffic Mitigation Impact**				
43	**Finance**				
740-43-00-21-45	Other Contract Services	133	6,739	1,843	-
21	**Services**	**133**	**6,739**	**1,843**	**-**
00	**Administration**	**133**	**6,739**	**1,843**	**-**
742	**Storm Drain Improvement**				
43	**Finance**				
742-43-00-21-45	Other Contract Services	133	6,739	811	-
21	**Services**	**133**	**6,739**	**811**	**-**
00	**Administration**	**133**	**6,739**	**811**	**-**
752	**Measure E**				
43	**Finance**				
752-43-00-21-30	Professional Contracts	-	15,414	-	-
21	**Services**	**-**	**15,414**	**-**	**-**
00	**Administration**	**-**	**15,414**	**-**	**-**
764	**Water Impact**				
43	**Finance**				
764-43-00-21-45	Other Contract Services	133	6,739	1,843	-
21	**Services**	**133**	**6,739**	**1,843**	**-**
00	**Administration**	**133**	**6,739**	**1,843**	**-**
774	**Sewer Impact**				
43	**Finance**				
774-43-00-21-45	Other Contract Services	133	6,739	1,843	-
21	**Services**	**133**	**6,739**	**1,843**	**-**
00	**Administration**	**133**	**6,739**	**1,843**	**-**
Grand Total		**1,119,760**	**1,105,630**	**1,454,954**	**1,368,978**

FINANCE BUDGET - 4300
EXPENSE DETAIL

Description	Object Code	Funding Source and Amount Per Funding Source			Total Budgeted
Professional Contracts	*2130*	*101*	*561*	*571*	
Professional Support (CPA)		10,000	10,000	10,000	30,000
CalPERS Social Security Program		1,000	-	-	1,000
TOTAL - Professional Contracts	***2130***	***$ 11,000***	***$ 10,000***	***$ 10,000***	***$ 31,000***
Other Contract Services	*2145*	*101*	*561*	*571*	
Annual Audit Services		11,950	11,950	11,950	35,850
Breeze Software		800	800	800	2,400
AdastraGov and GovInvest Annual Support		3,867	3,867	3,866	11,600
Open Gov		2,334	2,333	2,333	7,000
PERS Reports		5,000	1,700	1,700	8,400
California Municipal Statistic (Financial Statement Stats)		150	150	150	450
AK&Co (Reimbursement Claims)		1,000	1,000	1,000	3,000
Muniservices (Sales Tax Audit and Reports)		9,000	-	-	9,000
Grant Assistance		25,000	12,500	12,500	50,000
TOTAL - Other Contract Services	***2145***	***$ 59,101***	***$ 34,300***	***$ 34,299***	***$ 127,700***
Memberships & Publications	*2153*	*101*	*561*	*571*	
GFOA (5)		245	287	167	$ 698
GFOA Award		154	153	153	$ 460
CSMFO (2)		116	73	60	$ 249
MMANC (2)		70	44	36	$ 149
ICMA (2)		186	117	96	$ 399
Misc. Memberships & Publications		500	500	500	$ 1,500
TOTAL - Memberships & Publications	***2153***	***$ 1,271***	***$ 1,173***	***$ 1,012***	**$ 3,455**
Training and Conferences	*2155*	*101*	*561*	*571*	
CSMFO		$ 705	$ 500	$ 360	$ 1,565
GFOA		$ 970	$ 795	$ 695	$ 2,460
ICMA		$ 465	$ 290	$ 240	$ 995
Misc. Training and Conferences		$ 85	$ 885	$ 500	$ 1,470
TOTAL - Training and Conferences	***2153***	***$ 2,225***	***$ 2,470***	***$ 1,795***	**$ 6,490**
Special Department Supplies	*2215*	*101*	*561*	*571*	
Forms		2,800	2,800	2,800	8,400
Print Budget		1,200	1,200	1,200	3,600
TOTAL - Special Department Supplies	***2215***	***$ 4,000***	***$ 4,000***	***$ 4,000***	***$ 12,000***

FINANCE BUDGET - 4300
EXPENSE DETAIL

Description	Object Code	Funding Source and Amount Per Funding Source			Total Budgeted
Software Maintenance	*2335*	*101*	*561*	*571*	
Springbrook - Accounts Receivable		873	872	872	2,617
Springbrook - Finance Suite		3,976	3,976	3,976	11,928
Springbrook - Utility Billing			4,831	4,831	9,662
Springbrook - Fixed Assets		1,025	1,024	1,024	3,073
Springbrook - Human Resources Mgmt.		1,677	1,677	1,676	5,030
Springbrook - Licenses and Permits		3,074	-	-	3,074
Springbrook - Payroll		1,677	1,677	1,676	5,030
Springbrook - Project Management		1,025	1,024	1,024	3,073
Springbrook - Purchase Orders		1,025	1,024	1,024	3,073
Springbrook - CivicPay Online		-	845	845	1,690
TOTAL - Software Maintenance	***2335***	***$ 14,352***	***$ 16,950***	***$ 16,948***	***$ 48,250***
Furniture & Fixtures	*2640*	*101*	*561*	*571*	
Finance Misc.		200	200	200	600
TOTAL - Furniture & Fixtures	***2640***	***$ 200***	***$ 200***	***$ 200***	***$ 600***

Administrative Services (4300)

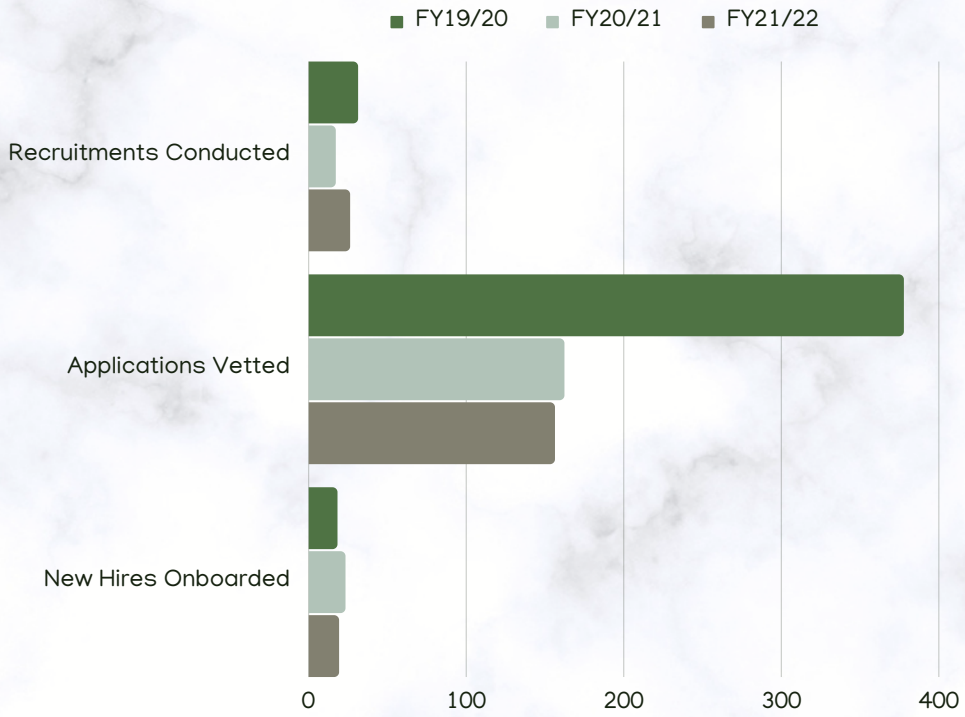
Budget 2022-23

Human Resources Department Goals

• Establishment of division SOPs
• Identify efficient and flexible solutions in delivering City services in a virtual environment.
• Prepare/present to the City Council an employee succession plan and/or strategy to help retain employees and minimize turnover costs.
• Continue to provide training and support to all departments.
• Update language in Municipal Code to reference the update to Administrative Services Department.

Human Resources Accomplishments

- Transitions SHINE Quarterly Newsletter to a Bimonthly newsletter and moved to all digital format following the COVID-19 pandemic.
- Administered City's health benefits programs.
- Administered City's recruitment.
- Administered City's risk and safety programs.
- Completion of updating the Employee Handbook.

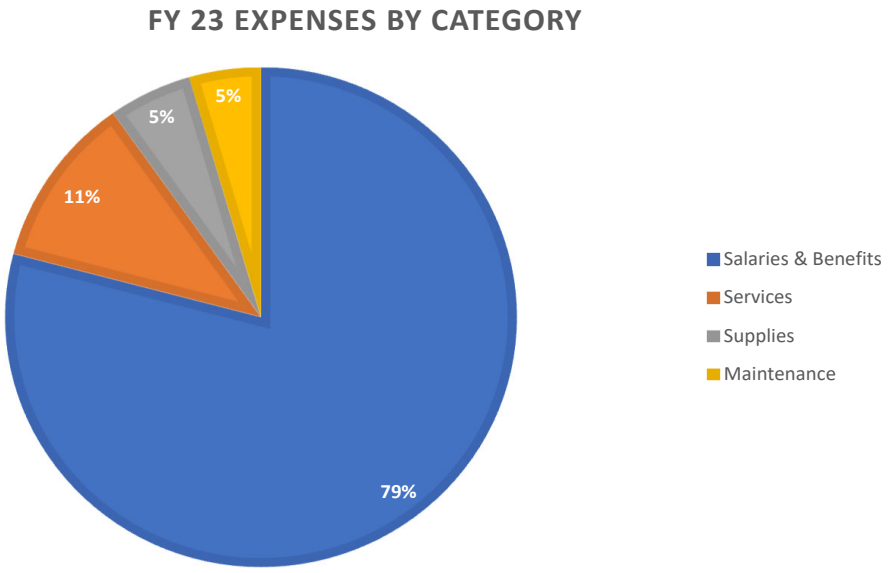


Human Resources

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	385,330	404,731	219,883	261,778
561	Water Enterprise	89,135	117,552	72,904	90,042
571	Sewer Enterprise	63,960	89,230	57,153	73,664
Grand Total		**538,426**	**611,512**	**349,940**	**425,484**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
43	***Human Resources***				
20	Salaries & Benefits	342,660.06	405,762	315,020	336,466
21	Services	156,641.15	158,152	21,720	47,270
22	Supplies	12,364.23	442	4,500	22,500
23	Maintenance	26,760.07	47,156	8,700	19,248
Grand Total		**538,426**	**611,512**	**349,940**	**425,484**



Human Resources Budget - 4310

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
43	**Finance**				
101-43-10-20-10	Salary Regular	134,966	170,403	124,013	138,259
101-43-20-20-20	Temp/Part Time	6,753	-	-	-
101-43-10-20-30	Overtime	45	581	-	-
101-43-10-20-40	FICA/Medicare	9,667	11,983	10,454	11,188
101-43-10-20-45	Employer PERS	11,267	12,800	8,965	9,949
101-43-10-20-47	PERS Unfunded Liability	19,975	25,949	17,775	14,871
101-43-10-20-55	Health Insurance	29,164	32,792	33,347	34,528
101-43-10-20-61	Workers Comp	4,939	5,124	5,043	4,769
101-43-10-20-65	SDI	1,150	1,646	1,550	1,521
101-43-10-20-71	Unemployment	4,097	-	-	-
101-43-10-20-75	Deferred Comp	1,982	777	2,058	2,058
101-43-10-20-85	Auto Allowance	1,560	1,690	1,560	1,560
20	**Salaries & Benefits**	**225,564**	**263,745**	**204,763**	**218,703**
101-43-10-21-05	Advertising	4,350	1,279	2,650	5,000
101-43-10-21-53	Memberships & Publications	2,038	1,294	1,720	1,720
101-43-10-21-55	Training & Conference	3,995	1,891	3,750	7,750
101-43-10-21-56	Admin Recruitment	3,621	2,932	4,500	7,500
21	**Services**	**14,004**	**7,395**	**12,620**	**21,970**
101-43-10-22-13	Office Supplies	556	299	1,000	1,000
101-43-10-22-15	Special Department Supplies	1,457	143	1,500	10,000
22	**Supplies**	**2,013**	**442**	**2,500**	**11,000**
101-43-10-23-35	Software Maintenance	16,798	30,917	7,497	10,105
23	**Maintenance**	**16,798**	**30,917**	**7,497**	**10,105**
10	**Administration**	**258,379**	**302,499**	**227,380**	**261,778**
561	**Water Enterprise**				
43	**Finance**				
561-43-10-20-10	Salary Regular	41,528	52,433	38,158	42,541
561-43-10-20-30	Overtime	14	179	-	-
561-43-10-20-40	FICA/Medicare	2,975	3,687	3,217	3,442
561-43-10-20-45	Employer PERS	3,467	3,939	2,758	3,061
561-43-10-20-47	PERS Unfunded Liability	6,146	7,984	5,469	4,576
561-43-10-20-55	Health Insurance	8,974	10,091	10,261	10,624
561-43-10-20-61	Workers Comp	1,520	1,576	1,552	1,467
561-43-10-20-65	SDI	354	507	477	468
561-43-10-20-71	Unemployment	845	-	-	-
561-43-10-20-75	Deferred Comp	610	239	633	633
561-43-10-20-85	Auto Allowance	480	520	480	480
20	**Salaries & Benefits**	**66,913**	**81,155**	**63,004**	**67,292**
561-43-10-21-05	Advertising	112	884	650	2,500
561-43-10-21-55	Training & Conference	-	1,010	2,400	6,400
561-43-10-21-56	Admin Recruitment	521	234	1,500	3,750
21	**Services**	**632**	**2,128**	**4,550**	**12,650**

Human Resources Budget - 4310

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
561-43-10-22-13	Office Supplies	193	-	250	250
561-43-10-22-15	Special Department Supplies	28	-	750	5,500
22	**Supplies**	**221**	**-**	**1,000**	**5,750**
561-43-10-23-35	Software Maintenance	5,412	8,893	4,350	4,350
23	**Maintenance**	**5,412**	**8,893**	**4,350**	**4,350**
10	**Administration**	**73,178**	**92,175**	**72,904**	**90,042**
571	**Sewer Enterprise**				
43	**Finance**				
571-43-10-20-10	Salary Regular	31,146	39,323	28,618	31,906
571-43-10-20-30	Overtime	10	134	-	-
571-43-10-20-40	FICA/Medicare	2,231	2,766	2,412	2,582
571-43-10-20-45	Employer PERS	2,600	2,954	2,069	2,296
571-43-10-20-47	PERS Unfunded Liability	4,610	5,988	4,102	3,432
571-43-10-20-55	Health Insurance	6,730	7,567	7,695	7,968
571-43-10-20-61	Workers Comp	1,140	1,182	1,164	1,101
571-43-10-20-65	SDI	265	380	358	351
571-43-10-20-71	Unemployment	634	-	-	-
571-43-10-20-75	Deferred Comp	457	179	475	475
571-43-10-20-85	Auto Allowance	360	390	360	360
20	**Salaries & Benefits**	**50,183**	**60,863**	**47,253**	**50,471**
571-43-10-21-05	Advertising	112	404	650	2,500
571-43-10-21-55	Training & Conference	-	1,010	2,400	6,400
571-43-10-21-56	Admin Recruitment	521	260	1,500	3,750
21	**Services**	**632**	**1,674**	**4,550**	**12,650**
571-43-10-22-13	Office Supplies	113	-	250	250
571-43-10-22-15	Special Department Supplies	96	-	750	5,500
22	**Supplies**	**210**	**-**	**1,000**	**5,750**
571-43-10-23-35	Software Maintenance	4,550	7,346	4,350	4,793
23	**Maintenance**	**4,550**	**7,346**	**4,350**	**4,793**
10	**Administration**	**55,575**	**-**	**57,153**	**73,664**
Grand Total		**387,132**	**394,674**	**349,940**	**425,484**

HUMAN RESOURCES - 4310
EXPENSE DETAIL

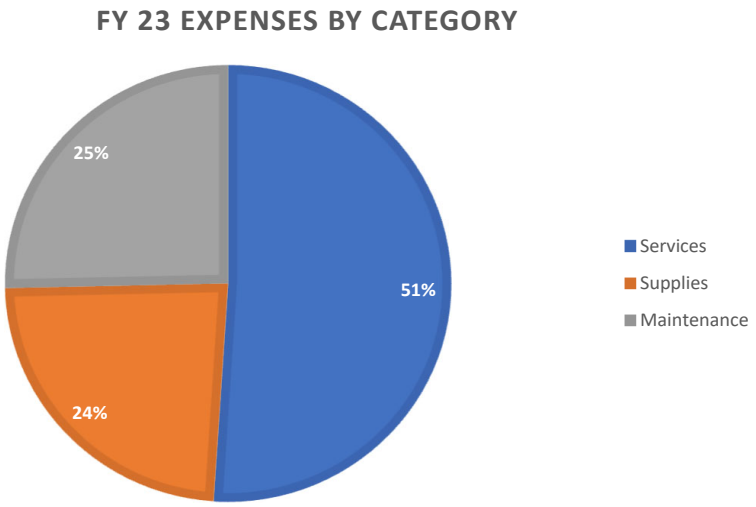
Description	Object Code	Funding Source and Amount Per Funding Source			Total Budgeted
Advertising	*2105*	*101*	*561*	571	
Recruitment Advertising		5,000	2,500	2,500	10,000
TOTAL - Advertising	***2105***	***$ 5,000***	***$ 2,500***	***$ 2,500***	***$ 10,000***
Memberships & Publications	*2153*	*101*	*561*	571	
CalPELRA (HR)		700	-	-	700
MMANC		150	-	-	150
CalChamber		870	-	-	870
TOTAL - Memberships & Publications	***2153***	***$ 1,720***	***$ -***	***$ -***	***$ 1,720***
Training and Conferences	*2155*	*101*	*561*	571	
Labor, Continuing Education		200	100	100	400
Liebert Cassidy (HR)		300	300	300	900
CalGovHR Conference		350	-	-	350
Citywide Employee Safety Trainings		4,000	4,000	4,000	12,000
Misc. Training		2,900	2,000	2,000	6,900
TOTAL - Training and Conferences	***2155***	***$ 7,750***	***$ 6,400***	***$ 6,400***	***$ 20,550***
Admin Recruitment	*2156*	*101*	*561*	571	
Background Checks and Physicals		7,500	3,750	3,750	15,000
TOTAL - Admin Recruitment	***2156***	***$ 7,500***	***$ 3,750***	***$ 3,750***	***$ 15,000***
Special Department Supplies	*2215*	*101*	*561*	571	
Employee Apparel		7,500	3,750	3,750	15,000
Misc		1,500	750	750	3,000
Job Fair Items		1,000	1,000	1,000	3,000
TOTAL - Special Department Supplies	***2215***	***$ 10,000***	***$ 5,500***	***$ 5,500***	***$ 21,000***
Software Maintenance	*2335*	*101*	*561*	571	
NeoGov Performance Evaluation Software		3,400	1,700	1,700	6,800
NeoGov Recruitment Software		4,625	2,313	2,313	9,250
CalOpps Recruitment Software		2,080	337	780	3,197
TOTAL - Software Maintenance	***2335***	***$ 10,105***	***$ 4,350***	***$ 4,793***	***$ 19,247***

Information Technology

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	-	-	144,949	242,704
561	Water Enterprise	-	-	30,002	54,241
571	Sewer Enterprise	-	-	20,930	40,494
592	Equipment Replacement Fund	-	-	-	38,251
Grand Total		**-**	**-**	**195,881**	**375,690**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
43	***Information Technology***				
21	Services	-	-	136,476	191,740
22	Supplies	-	-	-	88,751
23	Maintenance	-	-	59,405	95,199
Grand Total		**-**	**-**	**195,881**	**375,690**



Information Technology Budget - 4320

Account Number	Description	FY 20 Actuals	FY 21 Actuals	FY 22 Budgeted	FY 23 Adopted
101	**General Fund**				
43	**Information Technology**				
101-43-20-21-30	Professional Contracts	-	-	99,733	143,805
101-43-20-21-45	Other Contract Services	-	-	-	-
101-43-20-21-46	Website Support	-	-	3,500	4,000
21	**Services**	**-**	**-**	**103,233**	**147,805**
101-43-20-22-12	Computer Equipment	-	-	-	27,250
22	**Supplies**	**-**	**-**	**-**	**27,250**
101-43-20-23-35	Software Maintenance	-	-	41,716	67,649
23	**Maintenance**	**-**	**-**	**41,716**	**67,649**
20	**Administration**	**-**	**-**	**144,949**	**242,704**
561	**Water Enterprise**				
43	**Information Technology**				
561-43-20-21-30	Professional Contracts	-	-	19,946	26,361
21	**Services**	**-**	**-**	**19,946**	**26,361**
561-43-20-22-12	Computer Equipment	-	-	-	11,950
22	**Supplies**	**-**	**-**	**-**	**11,950**
561-43-20-23-35	Software Maintenance	-	-	10,056	15,930
23	**Maintenance**	**-**	**-**	**10,056**	**15,930**
20	**Administration**	**-**	**-**	**30,002**	**54,241**
571	**Sewer Enterprise**				
43	**Information Technology**				
571-43-20-21-30	Professional Contracts	-	-	13,297	17,574
21	**Services**	**-**	**-**	**13,297**	**17,574**
571-43-20-22-12	Computer Equipment	-	-	-	11,300
22	**Supplies**	**-**	**-**	**-**	**11,300**
571-43-20-23-35	Software Maintenance	-	-	7,633	11,620
23	**Maintenance**	**-**	**-**	**7,633**	**11,620**
20	**Administration**	**-**	**-**	**20,930**	**40,494**
592	**Equipment Replacement**				
43	**Information Technology**				
592-43-20-22-12	Computer Equipment	-	-	-	38,251
22	**Supplies**	**-**	**-**	**-**	**38,251**
20	**Administration**	**-**	**-**	**-**	**38,251**
Grand Total		**-**	**-**	**195,881**	**375,690**

INFORMATION TECHNOLOGY - 4320
EXPENSE DETAIL

Description	Object Code	Funding Source and Amount Per Funding Source				Total Budgeted
Professional Contracts	*2130*	*101*	*561*	571	592	
		75%	*15%*	10%		
Annual Support Contract - Marin IT		74,880	14,976	9,984		99,840
Mobile Device Management		9,360	1,872	1,248		12,480
Cloud Based Hosting (one-time)		6,000	1,200	800		8,000
Cloud Based Hosting (reoccurring)		10,440	2,088	1,392		13,920
RIMS Server Configuration PD		12,000	-	-		12,000
MarinIT Misc Labor		8,625	1,725	1,150		11,500
Cyber Security Audit		22,500	4,500	3,000		30,000
TOTAL - Professional Contracts	***2130***	***$ 143,805***	***$ 26,361***	***$ 17,574***		***$ 187,740***
Website Support	*2146*	*101*	*561*	571	592	
Domain and Website Hosting		4,000	-	-		4,000
TOTAL - Website Support	***2146***	***$ 4,000***	***$ -***	***$ -***		***$ 4,000***
Computer Equipment	*2212*	*101*	*561*	571	592	
		75%	*15%*	10%		
Misc Equipment Replacement		10,000	10,000	10,000	-	30,000
Wireless Replacement (with taxes)		-	-	-	34,418	34,418
RIMS CAD/RMS Server for PD		7,500	-	-	-	7,500
Domain Controller (hosted server)		-	-	-	3,833	3,833
MarinIT Contingency		9,750	1,950	1,300	-	13,000
TOTAL - Computer Equipment	***2212***	***$ 27,250***	***$ 11,950***	***$ 11,300***	***$ 38,251***	***$ 50,500***
Software Maintenance	*2335*	*101*	*561*	571	592	
Microsoft Office 365 Annual Subscription		16,245	3,249	2,166		21,660
Barracuda - Cloud Data Backup		2,700	540	360		3,600
Cyber Security and Network Monitoring		21,600	4,320	2,880		28,800
Security Awareness Training, Campaigns, & Scans		9,329	1,866	1,244		12,438
Cisco - Extended Warranties		6,375	1,275	850		8,500
Qualys Multi-Point Intrusion License		1,875	375	250		2,500
Misc. IT Software		2,000	2,000	2,000		6,000
MS Project (PW)		1,000	1,000	1,000		3,000
Adobe Licensing		6,000	1,200	800		8,000
L-Fiche Server Licensing		525	105	70		700
TOTAL - Software Maintenance	***2335***	***$ 67,649***	***$ 15,930***	***$ 11,620***		***$ 95,198***

City Attorney (4400)

Budget 2022-23

Purpose

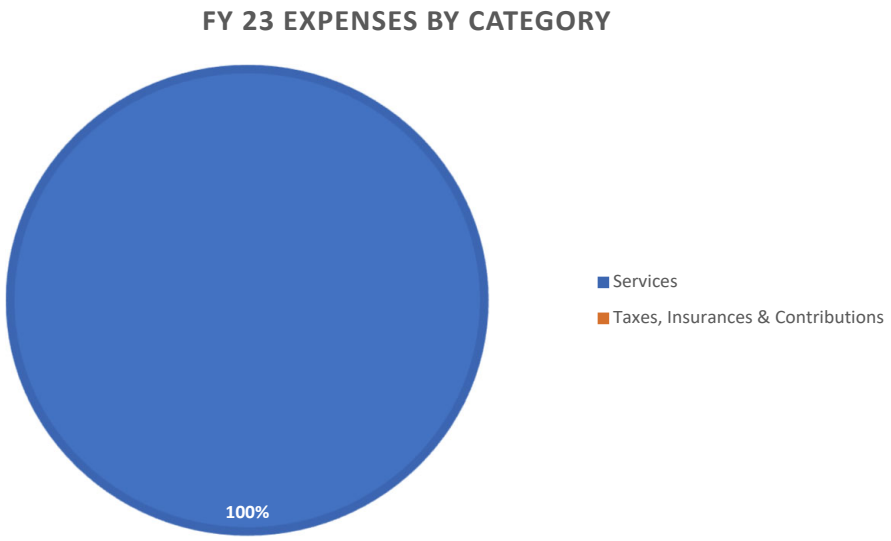
The City of St. Helena contracts with the law firm of Best Best & Krieger LLP for its City Attorney services. Ethan Walsh is the City Attorney. The City Attorney, who is appointed by the City Council, is responsible for providing legal advice to the City Council and Staff in carrying out the duties of City government. The City Attorney's duties include framing and reviewing City ordinances, resolutions and agreements, advising on all areas of law affecting the City's operations, and representing the City in litigation and in the enforcement of City ordinances and State laws affecting the City. The City Attorney's client is the City of St. Helena, as represented by the City Council and City Manager, and not members of the public.

Attorney

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	241,597	263,017	386,000	386,000
561	Water Enterprise	185,456	208,718	159,500	159,500
571	Sewer Enterprise	14,608	7,869	26,500	26,500
751	Affordable Housing	29,664	10,129	25,000	25,000
Grand Total		**471,326**	**489,733**	**597,000**	**597,000**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
44	***Attorney***				
21	Services	458,539	489,556	597,000	597,000
24	Taxes, Insurances & Contributions	12,787	177	-	-
Grand Total		**471,326**	**489,733**	**597,000**	**597,000**

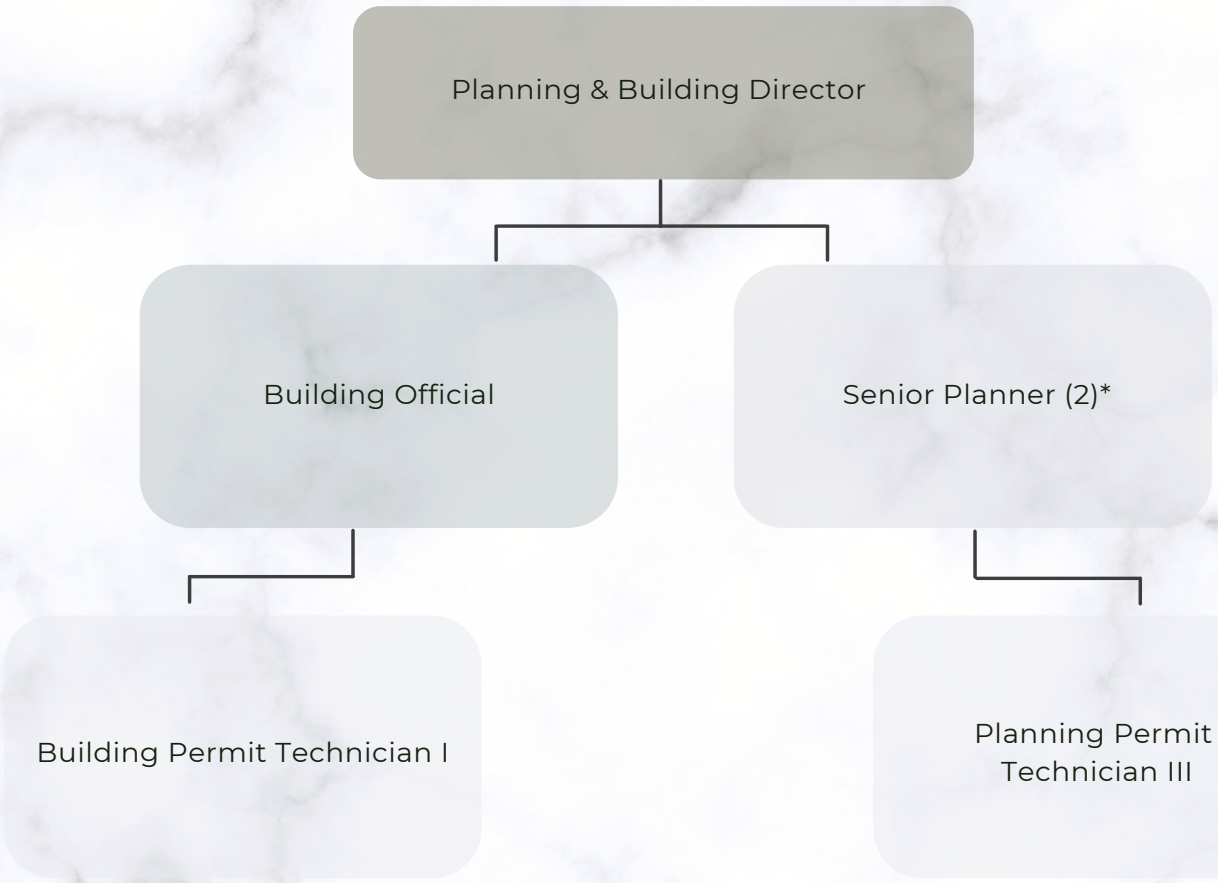


Attorney Budget - 4400

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
101-44-00-21-30	Professional Contracts	222,121	196,454	200,000	200,000
101-44-00-21-32	Litigation Cost	1,393	66,292	150,000	150,000
101-44-00-21-33	Contract Billable Services	18,084	271	36,000	36,000
101-44-00-21-45	Other Contract Services	-	-	-	-
21	**Services**	**241,597**	**263,017**	**386,000**	**386,000**
00	**Administration**	**241,597**	**263,017**	**386,000**	**386,000**
561	**Water Enterprise**				
561-44-00-21-30	Professional Contracts	29,573	86,744	59,500	59,500
561-44-00-21-32	Litigation Cost	155,883	121,974	100,000	100,000
561-44-00-21-40	Professional Fees	-	-	-	-
561-44-00-21-45	Other Contract Services	-	-	-	-
21	**Services**	**185,456**	**208,718**	**159,500**	**159,500**
00	**Administration**	**185,456**	**208,718**	**159,500**	**159,500**
571	**Sewer Enterprise**				
571-44-00-21-30	Professional Contracts	4,617	7,869	11,500	11,500
571-44-00-21-32	Litigation Cost	9,991	-	15,000	15,000
571-44-00-21-45	Other Contract Services	-	-	-	-
21	**Services**	**14,608**	**7,869**	**26,500**	**26,500**
00	**Administration**	**14,608**	**7,869**	**26,500**	**26,500**
751	**Affordable Housing**				
751-44-00-21-30	Professional Contracts	16,877	9,952	25,000	25,000
21	**Services**	**16,877**	**9,952**	**25,000**	**25,000**
751-44-00-24-10	Turley Flats Contribution	8,430	177	-	-
751-44-00-24-12	963 Pope Street OTSH	4,358	-	-	-
24	**Taxes, Insurances & Contributi**	**12,787**	**177**	**-**	**-**
00	**Administration**	**29,664**	**10,129**	**25,000**	**25,000**
Grand Total		**471,326**	**489,733**	**597,000**	**597,000**

Planning & Building

Organizational Chart
Planning & Building



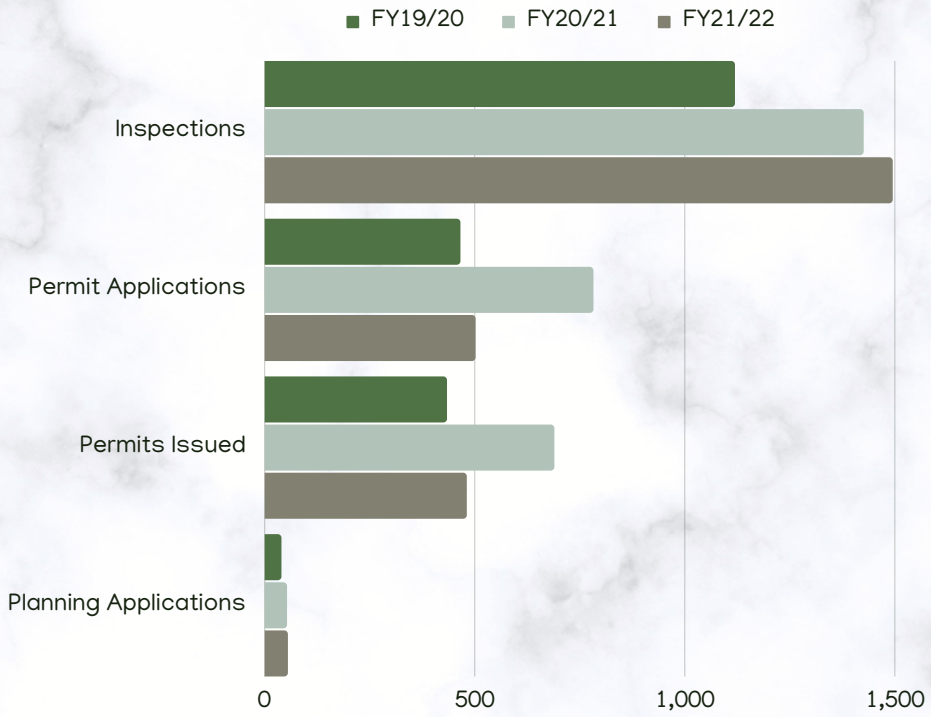
*One FTE Position has been frozen for FY2022-23

Planning & Building (4500)

Budget 2022-23

Purpose

The core services provided by the Planning and Building Department are:
Implementation, enforcement, and updates related to the City's General Plan, the City Zoning and City Building Codes. The overarching goal is to maintain and improve the quality of the community and environment. Additionally, this department reviews project plans for consistency with local, state, and federal laws as well as actions taken by the City Council and Planning Commission. The department provides planning and development review services, environmental review to ensure compliance with the California Environmental Quality Act, serves as the City's Housing Administrator, provides building permit plan check and field inspection, and Code Enforcement. (Including Short Term Rental enforcement).



Planning & Building (4500)
Budget 2022–23

Planning & Building Department Goals

- Adoption of Housing Element
- Adoption of updated Safety Element
- Public Meetings to receive comments on Zoning Code Update
- Update Zoning Map
- Adoption of new Zoning Code
- Transition to online permitting software
- Adoption of Trails and Open Space Plan
- Climate action implementation

Planning & Building Accomplishments

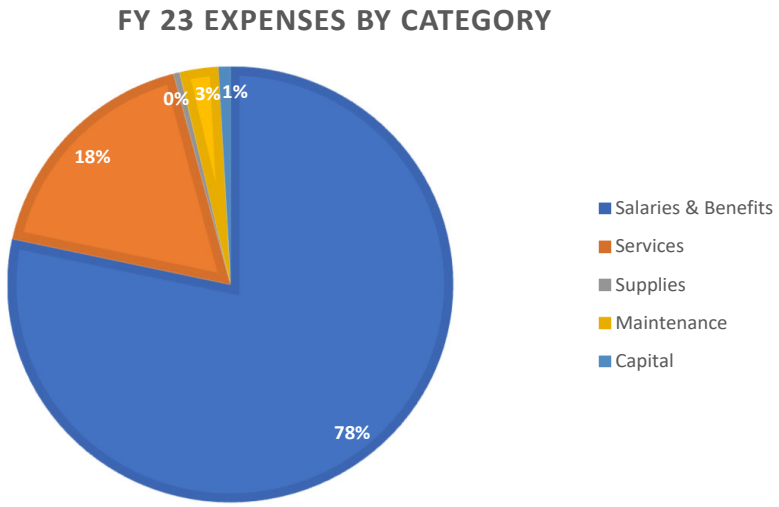
- Adopted SB 9 ordinance
- Conducted Surplus Properties Workshop
- Completed plan check of Farmstead Hotel
- Zoning Code Subcommittee completed review of core content for new code
- Sutter Home Baseline Documentation completed
- Provided support to Blue Zones Built Environment Committee
- Completed Hunter EIR public review
- Completed update to Timeshare ordinance
- Renewed Housing Authority Contract
- Conducted 3 Housing Element Update Community Workshops
- Annual Housing Element Progress Report was submitted to and accepted by the California Department of Housing and Community Development (HCD)
- Initiated a Development Review Committee (DRC) internal group to facilitate a more collaborative development review process

Planning & Building

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	911,670	1,049,048	1,316,278	1,112,778
209	HOME Grant	-	4,075	-	25,000
291	SB-1186 State Fees	2,724	-	5,000	5,000
713	Civic Impact	292	-	364	-
745	Parking In-Lieu	-	-	60,000	30,000
751	Affordable Housing	-	14,887	-	-
Grand Total		**914,687**	**1,068,009**	**1,381,643**	**1,172,778**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
45	***Planning/Building***				
20	Salaries & Benefits	751,763	864,409	883,050	918,950
21	Services	119,956	183,642	457,915	205,540
22	Supplies	6,261	1,134	4,300	5,300
23	Maintenance	27,678	12,901	29,428	33,038
26	Capital	9,029	5,924	6,950	9,950
Grand Total		**914,687**	**1,068,009**	**1,381,643**	**1,172,778**



Planning Budget - 4500

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
45	**Planning/Building**				
101-45-00-20-08	Post-Employment Disbursement	-	-	-	-
101-45-00-20-10	Salary-Regular	465,853	539,725	561,492	604,366
101-45-00-20-20	Temp/Part Time	17,781	30,200	6,000	6,000
101-45-00-20-30	Overtime	472	550	1,000	1,000
101-45-00-20-40	FICA/Medicare	37,222	40,764	41,987	45,115
101-45-00-20-45	Employer PERS	28,336	32,268	38,060	40,345
101-45-00-20-47	PERS Unfunded Liability	72,494	75,133	75,461	60,302
101-45-00-20-50	Employee PERS	(709)	495	-	-
101-45-00-20-55	Health Insurance	85,045	100,248	113,751	118,046
101-45-00-20-61	Workers Comp	26,963	23,647	23,275	22,011
101-45-00-20-65	SDI	4,472	5,480	5,983	5,724
101-45-00-20-71	Unemployment	-	-	-	-
101-45-00-20-75	Deferred Comp	7,311	8,699	8,841	8,841
101-45-00-20-85	Auto Allowance	6,023	7,200	7,200	7,200
101-45-00-20-96	Education Reimbursement	500	-	-	-
20	**Salaries & Benefits**	**751,763**	**864,409**	**883,050**	**918,950**
101-45-00-21-05	Advertising	7,479	6,755	5,000	5,000
101-45-00-21-10	Communications	3,753	4,485	3,200	3,200
101-45-00-21-15	Postage	1,011	569	1,200	1,200
101-45-00-21-30	Professional Contracts	39,606	72,451	65,518	12,000
101-45-00-21-33	Contract Billable Services	-	-	1,600	1,600
101-45-00-21-39	Other Contract Services - CE	1,023	4,906	18,000	18,000
101-45-00-21-45	Other Contract Services	3,886	41,154	243,493	50,000
101-45-00-21-47	Other Contract Services - Bldg	47,531	27,222	25,000	25,000
101-45-00-21-53	Memberships & Publications	6,450	6,833	8,140	8,140
101-45-00-21-55	Training & Conference	6,201	305	21,400	21,400
21	**Services**	**116,940**	**164,680**	**392,551**	**145,540**
101-45-00-22-12	Computer Equipment	4,111	-	-	-
101-45-00-22-13	Office Supplies	1,097	971	1,500	2,500
101-45-00-22-15	Special Department Supplies	1,053	163	2,800	2,800
22	**Supplies**	**6,261**	**1,134**	**4,300**	**5,300**
101-45-00-23-11	Maint Office Equip	298	1,399	500	500
101-45-00-23-35	Software Maintenance	21,533	5,584	21,630	25,000
101-45-00-23-50	Vehicle Alloc Expense	5,847	5,918	7,298	7,538
23	**Maintenance**	**27,678**	**12,901**	**29,428**	**33,038**
101-45-00-26-30	Capital Equipment	5,924	5,924	5,950	5,950
101-45-00-26-40	Furniture & Fixtures	3,105	-	1,000	4,000
26	**Capital**	**9,029**	**5,924**	**6,950**	**9,950**
00	**Administration**	**911,670**	**1,049,048**	**1,316,278**	**1,112,778**
101-45-10-21-30	Professional Contracts	36,796	72,451	173,957	-
21	**Services**	**36,796**	**72,451**	**173,957**	**-**
10	**Administration**	**36,796**	**72,451**	**173,957**	**-**

Planning Budget - 4500

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
209	**HOME Grant**				
45	**Planning/Building**				
209-45-00-21-22	Administrative Fees	-	4,075	-	25,000
21	**Services**	**-**	**4,075**	**-**	**25,000**
00	**Administration**	**-**	**4,075**	**-**	**25,000**
291	**SB-1186 State Fees**				
45	**Planning/Building**				
291-45-00-21-55	CASp Certification & Training	2,724	-	5,000	5,000
21	**Services**	**2,724**	**-**	**5,000**	**5,000**
00	**Administration**	**2,724**	**-**	**5,000**	**5,000**
713	**Civic Impact**				
45	**Planning/Building**				
713-45-00-21-30	Professional Contracts	292	-	364	-
21	**Services**	**292**	**-**	**364**	**-**
00	**Administration**	**292**	**-**	**364**	**-**
745	**Parking In-Lieu**				
45	**Planning/Building**				
745-45-00-21-40	Professional Fees	-	-	-	-
745-45-00-21-45	Other Contract Services	-	-	60,000	30,000
21	**Services**	**-**	**-**	**60,000**	**30,000**
00	**Administration**	**-**	**-**	**60,000**	**30,000**
751	**Affordable Housing**				
45	**Planning/Building**				
751-45-00-21-45	Other Contract Services	-	14,887	-	-
21	**Services**	**-**	**14,887**	**-**	**-**
00	**Administration**	**-**	**14,887**	**-**	**-**
Grand Total		**951,483**	**1,140,460**	**1,555,599**	**1,172,778**

PLANNING AND BUILDING - 4500
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Temporary Part-Time	*2020*	*101*	
Planning Commissioner Stipends		6,000	6,000
TOTAL - Temporary Part-Time	***2020***	***$ 6,000***	***$ 6,000***
Advertising	*2105*	*101*	
Public Hearing Notices		5,000	5,000
TOTAL - Advertising	***2105***	***$ 5,000***	***$ 5,000***
Professional Contracts	*2130*	*101*	
Investigator STR Enforcement		12,000	12,000
TOTAL - Professional Contracts	***2130***	***$ 12,000***	***$ 12,000***
Other Contract Services- Code Enforcement	*2139*	*101*	
Building Plan Check and Building Inspections*		18,000	18,000
TOTAL - Other Contract Services	***2139***	***$ 18,000***	***$ 18,000***
Other Contract Services - Planning	*2145*	*101*	
Planning Services*		50,000	50,000
TOTAL - Other Contract Services	***2145***	***$ 50,000***	***$ 50,000***
Other Contract Services- Building	*2147*	*101*	
Building Plan Check and Building Inspections*		25,000	25,000
TOTAL - Other Contract Services	***2147***	***$ 25,000***	***$ 25,000***
Memberships & Publications	*2153*	*101*	
APA and AICP Dues		1,200	1,200
Updated Codes		2,000	2,000
Membership/Subscriptions (ICC, ENR, NFPA, Building Codes, Planning & Building Codes)		3,000	3,000
Supplementary Code/Guide Books		500	500
County of Napa Official Records Index and Document Images (split with CM, Planning, and Public Works)		1,440	1,440
TOTAL - Memberships & Publications	***2153***	***$ 8,140***	***$ 8,140***

PLANNING AND BUILDING - 4500
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Training and Conferences	*2155*	*101*	
Planning Commissioners and Staff		10,000	10,000
APA California Conference (Senior Planner, Planning Technician III and Planning Director)		6,100	6,100
Miscellaneous Staff Training		3,000	3,000
Plan Check/Inspection Training and Materials		2,300	2,300
TOTAL - Training and Conferences	***2155***	***$ 21,400***	***$ 21,400***
Software Maintenance	*2335*	*101*	
CRW		25,000	25,000
TOTAL - Software Maintenance	***2335***	***$ 25,000***	***$ 25,000***
SB-1186 STATE FEES - 291			
Training and Conferences	*2155*	*291*	
CASP Certification and Training		5,000	5,000
TOTAL - Training and Conferences	***2155***	***$ 5,000***	***$ 5,000***

Non-Departmental

Non-Departmental (4000)

Budget 2022-23

Purpose

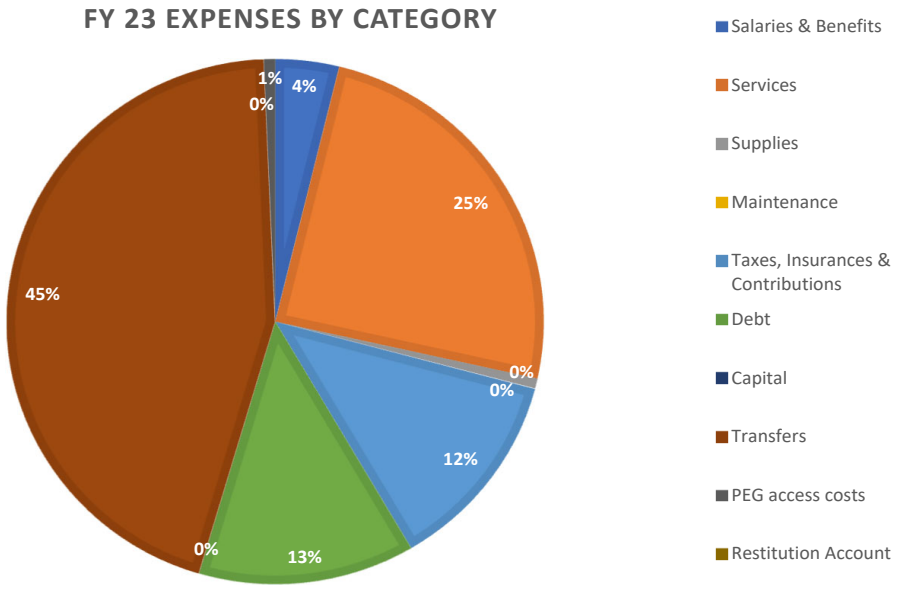
The Purpose of the Non-Departmental categorization is to accommodate those costs not easily associated with a particular cost center and to more easily monitor certain expendable costs for savings and control purposes. Liability Insurance, contributions, debt service, and general office supplies are types of expenses accounted for here.

Non Department

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	2,008,124	2,711,682	3,211,499	3,896,516
213	GVS Grant	-	23,415	-	-
223	Skate Park Lighting Fund	1,200	-	-	-
224	Public Safety (COPS)	-	-	-	-
225	State Gas Tax 2105	31,461	11,736	-	-
226	State Gas Tax 2106	19,523	-	-	21,664
227	State Gas Tax 2107	75,515	-	-	40,590
228	State Gas Tax 21075	5,540	-	-	2,000
229	State Gas Tax 2103	-	-	-	54,560
230	RMRA	108,000	-	-	138,364
235	Measure A	42,085	-	-	-
240	Measure T	1,108,951	174,244	738,589	895,286
290	Tourism Improvement District	388,940	229,342	483,107	550,591
420	1996 GO Bonds	(288)	-	-	-
561	Water Enterprise	1,161,878	1,201,805	1,262,950	1,210,312
571	Sewer Enterprise	881,703	613,840	546,994	495,689
572	Wastewater Bond	-	-	-	-
581	Insurance Benefit Fund	146,456	(4,009)	-	-
582	Internal Service Garage Fund	139,030	131,034	-	-
592	Equipment Replacement Fund	-	100,000	20,724	231,418
700	Flood Control Capital	33,908	36,473	-	-
713	Civic Impact	25,731	-	3,770	-
733	Capital Project Planning	-	530,000	-	-
734	Park Impact	405,545	53,082	514,659	515,659
740	Traffic Mitigation Impact	-	41,711	873,610	873,610
741	Street Capital Improvement	326,279	-	-	-
751	Affordable Housing	316,884	1,586,448	25,000	-
752	Fund	-	-	-	-
763	Water Capital Project	-	8,144,570	-	-
764	Water Impact	-	-	210,144	-
774	Sewer Impact	-	-	709,677	677,260
890	General Fixed Assets	1,221,185	-	-	-
Grand Total		**8,447,648**	**15,585,373**	**8,600,723**	**9,639,569**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 DRAFT
40	***Non Departmental***				
20	Salaries & Benefits	582,349	299,308	434,849	369,884
21	Services	698,277	326,655	1,462,072	2,375,453
22	Supplies	218,840	1,430,865	319,267	59,268
23	Maintenance	260	-	3,979	3,979
24	Taxes, Insurances & Contributions	1,085,655	2,488,850	1,273,315	1,197,810
25	Debt	610,560	550,050	1,264,287	1,255,194
26	Capital	-	112	137,600	-
29	Transfers	5,221,837	10,467,842	3,635,354	4,312,981
61	PEG access costs	26,872	21,690	70,000	65,000
80	Restitution Account	3,000	-	-	-
Grand Total		**8,447,648**	**15,585,373**	**8,600,723**	**9,639,569**



Non Department Budget - 4000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
40	**Non Departmental**				
101-40-00-20-08	Post-Employment Disbursement	-	58,295	152,000	-
101-40-00-20-40	FICA/Medicare	-	4,460	-	-
101-40-00-20-47	PERS Unfunded Liability	162,640	121,213	173,357	269,243
101-40-00-20-55	Health Insurance	-	10,876	-	-
101-40-00-20-65	SDI	-	614	-	-
101-40-00-20-89	Charity Event Reimbursement	2,149	-	9,250	9,250
20	**Salaries & Benefits**	**164,789**	**195,458**	**334,607**	**278,493**
101-40-00-21-10	Communications	3,186	4,238	6,000	6,000
101-40-00-21-15	Postage	872	657	1,000	1,000
101-40-00-21-27	Equipment Lease Exp	9,047	8,388	11,500	11,500
101-40-00-21-30	Professional Contracts	197,528	1,776	29,372	15,000
101-40-00-21-34	Muni Code Update	2,636	2,614	4,500	4,500
101-40-00-21-40	Professional Fees	8,077	1,782	14,000	8,000
101-40-00-21-43	Penalties And Fines	3,416	5,578	4,000	4,000
101-40-00-21-45	Other Contract Services	32,687	47,100	724,749	1,291,301
101-40-00-21-52	Facility Rental	701	4,000	141,000	241,000
101-40-00-21-53	Memberships & Publications	2,519	2,601	2,900	2,900
101-40-00-21-55	Training & Conference	60	-	-	-
101-40-00-21-60	Other Travel	60	-	-	-
21	**Services**	**260,788**	**78,734**	**939,021**	**1,585,201**
101-40-00-22-07	Copies	6,142	3,075	6,500	6,500
101-40-00-22-13	Office Supplies	1,457	1,311	2,900	2,900
101-40-00-22-15	Special Department Supplies	88,123	14,085	750	750
101-40-00-22-16	COVID-19	81,777	106,026	-	-
101-40-00-22-17	Glass Fire	-	1,301,729	266,693	-
101-40-00-22-18	Employee Appreciation	-	-	5,000	5,000
22	**Supplies**	**177,499**	**1,426,226**	**281,843**	**15,150**
101-40-00-23-11	Maint Office Equip	260	-	1,500	1,500
23	**Maintenance**	**260**	**-**	**1,500**	**1,500**
101-40-00-24-05	Contributions	126,249	120,618	351,917	208,343
101-40-00-24-07	Chamber of Commerce	210,000	210,000	220,500	250,000
101-40-00-24-08	Leak Adjustment Contribution	-	-	9,000	9,000
101-40-00-24-24	Uncollectable Debt	1,823	4,924	-	-
101-40-00-24-25	Taxes & Other Charges	4,937	5,296	6,000	6,000
101-40-00-24-45	REMIF/Block Party Insurance	215,394	269,128	298,144	361,713
24	**Taxes, Insurances & Contributions**	**558,403**	**609,966**	**885,561**	**835,056**
101-40-00-26-30	Capital Equipment	-	-	51,600	-
26	**Capital**	**-**	**-**	**51,600**	**-**
101-40-00-29-99	Transfer to other Funds	674,129	245,260	584,189	1,052,939
29	**Transfers**	**674,129**	**245,260**	**584,189**	**1,052,939**
101-40-00-61-00	PEG access costs	26,872	21,690	70,000	65,000
61	**PEG access costs**	**26,872**	**21,690**	**70,000**	**65,000**

Non Department Budget - 4000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101-40-00-80-00	Restitution Account	3,000	-	-	-
80	**Restitution Account**	**3,000**	**-**	**-**	**-**
00	**Administration**	**1,865,740**	**2,577,334**	**3,148,321**	**3,833,339**
101-40-45-25-05	Retire Principal	138,466	127,168	58,222	59,704
101-40-45-25-15	Interest Expense	3,918	7,180	4,956	3,473
25	**Debt**	**142,384**	**134,348**	**63,178**	**63,177**
45	**Debt**	**142,384**	**134,348**	**63,178**	**63,177**
213	**GVS Grant**				
40	**Non Departmental**				
213-40-00-29-99	Transfer to other Funds	-	23,415	-	-
29	**Transfers**	**-**	**23,415**	**-**	**-**
00	**Administration**	**-**	**23,415**	**-**	**-**
223	**Skate Park Lighting Fund**				
40	**Non Departmental**				
223-40-00-29-99	Transfer to other Funds	1,200	-	-	-
29	**Transfers**	**1,200**	**-**	**-**	**-**
00	**Administration**	**1,200**	**-**	**-**	**-**
225	**State Gas Tax 2105**				
40	**Non Departmental**				
225-40-00-29-99	Transfer to other Funds	31,461	11,736	-	-
29	**Transfers**	**31,461**	**11,736**	**-**	**-**
00	**Administration**	**31,461**	**11,736**	**-**	**-**
226	**State Gas Tax 2106**				
40	**Non Departmental**				
226-40-00-29-99	Transfer to other Funds	19,523	-	-	21,664
29	**Transfers**	**19,523**	**-**	**-**	**21,664**
00	**Administration**	**19,523**	**-**	**-**	**21,664**
227	**State Gas Tax 2107**				
40	**Non Departmental**				
227-40-00-29-99	Transfer to other Funds	75,515	-	-	40,590
29	**Transfers**	**75,515**	**-**	**-**	**40,590**
00	**Administration**	**75,515**	**-**	**-**	**40,590**
228	**State Gas Tax 21075**				
40	**Non Departmental**				
228-40-00-29-99	Transfer to other Funds	5,540	-	-	2,000
29	**Transfers**	**5,540**	**-**	**-**	**2,000**

Non Department Budget - 4000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
00	**Administration**	**5,540**	**-**	**-**	**2,000**
229	**State Gas Tax 2103**				
40	**Non Departmental**				
229-40-00-29-99	Transfer to other Funds	-	-	-	54,560
29	**Transfers**	**-**	**-**	**-**	**54,560**
00	**Administration**	**-**	**-**	**-**	**54,560**
230	**RMRA**				
40	**Non Departmental**				
230-40-00-29-99	Transfer to Other Funds	108,000	-	-	138,364
29	**Transfers**	**108,000**	**-**	**-**	**138,364**
00	**Administration**	**108,000**	**-**	**-**	**138,364**
235	**Measure A**				
40	**Non Departmental**				
235-40-45-25-05	Retire Principal	41,099	-	-	-
235-40-45-25-15	Interest Expense	986	-	-	-
25	**Debt**	**42,085**	**-**	**-**	**-**
45	**Debt**	**42,085**	**-**	**-**	**-**
240	**Measure T**				
40	**Non Departmental**				
240-40-00-29-99	Transfer to Other Funds	1,108,951	174,244	738,589	895,286
29	**Transfers**	**1,108,951**	**174,244**	**738,589**	**895,286**
00	**Administration**	**1,108,951**	**174,244**	**738,589**	**895,286**
289	**Recreation Program**				
40	**Non Departmental**				
289-40-00-29-99	Transfer to other Funds	-	-	-	36,050
29	**Transfers**	**-**	**-**	**-**	**36,050**
00	**Administration**	**-**	**-**	**-**	**36,050**
290	**Tourism Improvement District**				
40	**Non Departmental**				
290-40-00-21-41	County Share of TID	286,842	169,941	357,757	407,816
290-40-00-21-49	Local Share of TID	96,731	57,429	120,864	137,776
21	**Services**	**383,573**	**227,370**	**478,621**	**545,592**
290-40-00-29-99	Transfer to other Funds	5,367	1,972	4,486	4,999
29	**Transfers**	**5,367**	**1,972**	**4,486**	**4,999**
00	**Administration**	**388,940**	**229,342**	**483,107**	**550,591**
420	**1996 GO Bonds**				

Non Department Budget - 4000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
40	**Non Departmental**				
420-40-45-25-15	Interest Expense	(288)	-	-	-
25	**Debt**	**(288)**	**-**	**-**	**-**
45	**Debt**	**(288)**	**-**	**-**	**-**
561	**Water Enterprise**				
40	**Non Departmental**				
561-40-00-20-45	Pension Expense	24,899	63,313	-	-
561-40-00-20-47	PERS Unfunded Liability	55,948	-	60,322	54,996
20	**Salaries & Benefits**	**80,847**	**63,313**	**60,322**	**54,996**
561-40-00-21-10	Communications	878	1,166	2,000	2,000
561-40-00-21-15	Postage	225	169	100	100
561-40-00-21-27	Equipment Lease Exp	5,822	5,784	8,400	8,400
561-40-00-21-30	Professional Contracts	79	-	-	-
561-40-00-21-45	Other Contract Services	-	348	2,280	2,280
21	**Services**	**7,005**	**7,468**	**12,780**	**12,780**
561-40-00-22-07	Copies	1,428	1,378	3,500	3,500
561-40-00-22-13	Office Supplies	1,109	534	5,700	5,700
561-40-00-22-15	Special Department Supplies	23,993	408	750	750
22	**Supplies**	**26,530**	**2,320**	**9,950**	**9,950**
561-40-00-23-35	Software Maintenance	-	-	1,239	1,239
23	**Maintenance**	**-**	**-**	**1,239**	**1,239**
561-40-00-24-24	Uncollectable Debt	(9,209)	(434)	-	-
561-40-00-24-45	REMIF/Block Party Insurance	109,447	146,698	181,377	181,377
24	**Taxes, Insurances & Contributions**	**100,238**	**146,264**	**181,377**	**181,377**
561-40-00-26-30	Capital Equipment	-	56	43,000	-
26	**Capital**	**-**	**56**	**43,000**	**-**
561-40-00-29-99	Transfer to other Funds	-	79,570	-	-
29	**Transfers**	**-**	**79,570**	**-**	**-**
00	**Administration**	**214,619**	**298,991**	**308,668**	**260,342**
561-40-10-29-40	Depreciation Expense	611,423	577,948	-	-
29	**Transfers**	**611,423**	**577,948**	**-**	**-**
10	**Administration**	**611,423**	**577,948**	**-**	**-**
561-40-45-21-40	Professional Fees	6,982	2,815	10,000	10,000
21	**Services**	**6,982**	**2,815**	**10,000**	**10,000**
561-40-45-25-05	Retire Principal	-	-	662,461	679,187
561-40-45-25-15	Interest Expense	328,853	322,051	281,821	260,783
25	**Debt**	**328,853**	**322,051**	**944,282**	**939,970**

Non Department Budget - 4000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
45	**Debt**	**335,836**	**324,866**	**954,282**	**949,970**
571	**Sewer Enterprise**				
40	**Non Departmental**				
571-40-00-20-45	Pension Expense	148,620	44,546	-	-
571-40-00-20-47	PERS Unfunded Liability	41,636	-	39,920	36,395
20	**Salaries & Benefits**	**190,256**	**44,546**	**39,920**	**36,395**
571-40-00-21-10	Communication	878	1,166	2,000	2,000
571-40-00-21-15	Postage	225	169	200	200
571-40-00-21-27	Equipment Lease Exp	5,822	5,784	8,400	8,400
571-40-00-21-30	Professional Contracts	79	-	-	-
571-40-00-21-45	Other Contract Services	-	348	2,280	2,280
21	**Services**	**7,005**	**7,468**	**12,880**	**12,880**
571-40-00-22-07	Copies	1,428	1,378	3,500	3,500
571-40-00-22-13	Office Supplies	1,109	534	2,500	2,500
571-40-00-22-15	Special Department Supplies	12,274	408	750	750
22	**Supplies**	**14,811**	**2,320**	**6,750**	**6,750**
571-40-00-23-35	Software Maintenance	-	-	1,240	1,240
23	**Maintenance**	**-**	**-**	**1,240**	**1,240**
571-40-00-24-24	Uncollectable Debt	683	(121)	-	-
571-40-00-24-45	REMIF/Block Party Insurance	109,447	146,698	181,377	181,377
24	**Taxes, Insurances & Contributi**	**110,130**	**146,577**	**181,377**	**181,377**
571-40-00-26-30	Capital Equipment	-	56	43,000	-
26	**Capital**	**-**	**56**	**43,000**	**-**
00	**Administration**	**322,203**	**200,966**	**285,167**	**238,642**
571-40-10-29-40	Depreciation Expense	454,781	316,828	-	-
29	**Transfers**	**454,781**	**316,828**	**-**	**-**
10	**SB2 Planning Grant**	**454,781**	**316,828**	**-**	**-**
571-40-45-21-40	Professional Fees	7,193	2,395	5,000	5,000
21	**Services**	**7,193**	**2,395**	**5,000**	**5,000**
571-40-45-25-05	Retire Principal	-	-	166,739	168,913
571-40-45-25-15	Interest Expense	97,527	93,651	90,088	83,134
25	**Debt**	**97,527**	**93,651**	**256,827**	**252,047**
45	**Debt**	**104,719**	**96,046**	**261,827**	**257,047**
581	**Insurance Benefit Fund**				
40	**Non Departmental**				
581-40-00-20-55	Health Insurance	146,456	(4,009)	-	-
20	**Salaries & Benefits**	**146,456**	**(4,009)**	**-**	**-**

Non Department Budget - 4000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
00	**Administration**	**146,456**	**(4,009)**	**-**	**-**
582	**Internal Service Garage Fund**				
40	**Non Departmental**				
582-40-10-29-40	Depreciation Expense	139,030	131,034	-	-
29	**Transfers**	**139,030**	**131,034**	**-**	**-**
10	**Administration**	**139,030**	**131,034**	**-**	**-**
592	**Equipment Replacement Fund**				
40	**Non Departmental**				
592-40-00-21-45	Other Contract Services	-	-	-	204,000
21	**Services**	**-**	**-**	**-**	**204,000**
592-40-00-22-12	Computer Equipment	-	-	20,724	27,418
22	**Supplies**	**-**	**-**	**20,724**	**27,418**
592-40-00-29-99	Transfer to other Funds	-	100,000	-	-
29	**Transfers**	**-**	**100,000**	**-**	**-**
00	**Administration**	**-**	**100,000**	**20,724**	**231,418**
700	**Flood Control Capital**				
40	**Non Departmental**				
700-40-00-29-99	Transfer to other Funds	33,908	36,473	-	-
29	**Transfers**	**33,908**	**36,473**	**-**	**-**
00	**Administration**	**33,908**	**36,473**	**-**	**-**
713	**Civic Impact**				
40	**Non Departmental**				
713-40-00-21-30	Professional Contracts	25,731	-	3,770	-
21	**Services**	**25,731**	**-**	**3,770**	**-**
00	**Administration**	**25,731**	**-**	**3,770**	**-**
733	**Capital Project Planning**				
40	**Non Departmental**				
733-40-00-29-99	Transfer to other Funds	-	530,000	-	-
29	**Transfers**	**-**	**530,000**	**-**	**-**
00	**Administration**	**-**	**530,000**	**-**	**-**
734	**Park Impact**				
40	**Non Departmental**				
734-40-00-29-99	Transfer to other Funds	405,545	53,082	514,659	515,659
29	**Transfers**	**405,545**	**53,082**	**514,659**	**515,659**
00	**Administration**	**405,545**	**53,082**	**514,659**	**515,659**
740	**Traffic Mitigation Impact**				

Non Department Budget - 4000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
40	**Non Departmental**				
740-40-00-29-99	Transfer to other Funds	-	41,711	873,610	873,610
29	**Transfers**	**-**	**41,711**	**873,610**	**873,610**
00	**Administration**	**-**	**41,711**	**873,610**	**873,610**
741	**Street Capital Improvement**				
40	**Non Departmental**				
741-40-00-29-99	Transfer to other Funds	326,279	-	-	-
29	**Transfers**	**326,279**	**-**	**-**	**-**
00	**Administration**	**326,279**	**-**	**-**	**-**
751	**Affordable Housing**				
40	**Non Departmental**				
751-40-00-21-45	Other Contract Services	-	405	-	-
21	**Services**	**-**	**405**	**-**	**-**
751-40-00-24-05	Contributions	-	-	25,000	-
751-40-00-24-10	Turley Flats Contribution	-	185,884	-	-
751-40-00-24-11	Brenkle Court	316,884	-	-	-
751-40-00-24-12	963 Pope Street OTSH	-	1,400,000	-	-
751-40-00-24-13	963 Pope Street OTSH	-	160	-	-
24	**Taxes, Insurances & Contributions**	**316,884**	**1,586,044**	**25,000**	**-**
00	**Administration**	**316,884**	**1,586,448**	**25,000**	**-**
763	**Water Capital Project**				
40	**Non Departmental**				
763-40-00-29-99	Transfer to other Funds	-	8,144,570	-	-
29	**Transfers**	**-**	**8,144,570**	**-**	**-**
00	**Administration**	**-**	**8,144,570**	**-**	**-**
764	**Water Impact**				
40	**Non Departmental**				
764-40-00-29-99	Transfer to other Funds	-	-	210,144	-
29	**Transfers**	**-**	**-**	**210,144**	**-**
00	**Administration**	**-**	**-**	**210,144**	**-**
774-40-00-29-99	Transfer to other Funds	-	-	709,677	677,260
29	**Transfers**	**-**	**-**	**709,677**	**677,260**
00	**Administration**	**-**	**-**	**709,677**	**677,260**
890	**General Fixed Assets**				
40	**Non Departmental**				
890-40-00-29-20	Fixed Asset Adjustments	11	-	-	-
29	**Transfers**	**11**	**-**	**-**	**-**

Non Department Budget - 4000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
00	**Administration**	**11**	**-**	**-**	**-**
890-40-10-29-40	Depreciation Expense	1,221,174	-	-	-
29	**Transfers**	**1,221,174**	**-**	**-**	**-**
10	**SB2 Planning Grant**	**1,221,174**	**-**	**-**	**-**
Grand Total		**8,447,648**	**15,585,373**	**8,600,723**	**9,639,569**

NON-DEPARTMENTAL - 4000
EXPENSE DETAIL

Description	Object Code	Funding Source and Amount Per Funding Source			Total Budgeted
PERS Unfunded Liability	*2047*	*101*	*561*	571	
Additional Payment		269,243	54,996	36,395	360,634
TOTAL - PERS Unfunded Liability	***2047***	***$ 269,243***	***$ 54,996***	***$ 36,395***	***$ 360,634***
Equipment Lease	*2127*	*101*	*561*	571	
Copiers		11,500	8,400	8,400	28,300
TOTAL - Equipment Lease	***2127***	***$ 11,500***	***$ 8,400***	***$ 8,400***	***$ 28,300***
Professional Contracts	*2130*	*101*	*561*	571	
Climate Action Plan Update		15,000			15,000
TOTAL - Professional Contracts	***2130***	***$ 15,000***	***$ -***	***$ -***	***$ 15,000***
Professional Fees	*2140*	*101*	*561*	571	
Fingerprinting - reimbursed		8,000	-	-	8,000
TOTAL - Professional Fees	***2140***	***$ 8,000***	***$ -***	***$ -***	***$ 8,000***
Other Contract Services	*2145*	*101*	*561*	571	
Napa County ITS (GIS)		1,700	1,700	1,700	5,100
Animal Control		7,000			7,000
NVTA - JPA Membership		9,966			9,966
Fair Housing Napa Valley		13,000			13,000
Fair Housing Napa Valley - Annual Presentation		1,500			1,500
Maintenance Wide Format Multi-Function Unit		580	580	580	1,740
Miscellaneous Contracts		72,555	-	-	72,555
Business Recovery		50,000			50,000
Napa Valley College Tenant Improvements		1,100,000	-	-	1,100,000
Vegetation Management		35,000	-	-	35,000
TOTAL - Other Contract Services	***2145***	***$ 1,291,301***	***$ 2,280***	***$ 2,280***	***$ 1,295,861***
Facility Rentals	*2152*	*101*	*561*	571	
Vintage Hall		15,000	-	-	15,000
Napa Valley College		226,000	-	-	226,000
TOTAL - Facility Rentals	***2153***	***$ 241,000***	***$ -***	***$ -***	***$ 241,000***
Memberships & Publications	*2153*	*101*	*561*	571	
BMI		600	-	-	600
ABAG		2,300	-	-	2,300
TOTAL - Memberships & Publications	***2153***	***$ 2,900***	***$ -***	***$ -***	***$ 2,900***

NON-DEPARTMENTAL - 4000
EXPENSE DETAIL

Description	Object Code	Funding Source and Amount Per Funding Source			Total Budgeted
Copies	*2207*	*101*	*561*	571	
Administration (includes large format)		6,500	3,500	3,500	13,500
TOTAL - Copies	***2207***	***$ 6,500***	***$ 3,500***	**$ 3,500**	**$ 13,500**
Special Department Supplies	*2215*	*101*	*561*	571	
Misc. Supplies		750	750	750	2,250
TOTAL - Special Department Supplies	***2215***	***$ 750***	***$ 750***	***$ 750***	***$ 2,250***
Contributions	*2405*	*101*	*561*	571	
Housing Authority (Housing Services)		56,050	-	-	56,050
NVTA (Fare Box Match)		35,000	-	-	35,000
LAFCO		21,293	-	-	21,293
Leadership Napa Valley		1,000	-	-	1,000
CARES Programs		75,000	-	-	75,000
Leak Adjustment Programs		15,000			15,000
Upper Valley Waste Management		5,000	-	-	5,000
TOTAL - Contributions	***2405***	***$ 208,343***	***$ -***	***$ -***	***$ 208,343***
REMIF/Block Party Insurance	*2445*	*101*	*561*	571	
General Liability Insurance		161,746	82,319	82,319	326,384
Property		68,894	22,439	22,439	113,772
Auto		8,314	5,060	5,060	18,434
Pollution		766	488	488	1,742
Safety		4,385	2,669	2,669	9,723
Cyber		6,352	4,042	4,042	14,436
Contract Fire Services Surcharge		1,370	-	-	1,370
Difference In Condition (Earthquake and Flood)		34,270	21,276	21,276	75,986
Difference In Condition (OSIP)		5,433	2,212	2,212	9,857
High Flood Zone Deductible		2,427	384	384	3,195
DOT Random Drug and Alcohol Testing		329	200	200	729
Boiler, Fire, Fraud		10,415	6,339	6,339	23,093
Workers Comp Deductible		6,600	4,200	4,200	15,000
Liability Deductibles		13,200	8,400	8,400	30,000
Employee Assistance Plan (EAP)		3,940	-	-	3,940
WC Assessment		22,113	14,072	14,072	50,257
Liability Assessment		10,518	6,694	6,694	23,906
Flood Insurance (Wright)		605	583	583	1,771
TOTAL - REMIF/Block Party Insurance	***2445***	***$ 361,677***	***$ 181,377***	***$ 181,377***	***$ 723,595***

NON-DEPARTMENTAL - 4000
EXPENSE DETAIL

Description	Object Code	Funding Source and Amount Per Funding Source			Total Budgeted
Transfer to Other Funds	*2999*	*101*	*561*	571	
Streets Fund 741 - Measure T Class 1 Trails 6.67%		85,000			85,000
Fourth of July - Fund 288		40,000	-	-	40,000
Transfer to Equipment Replacement		458,000	-	-	458,000
Transfer to Civic CIP - HMGP Defensible Space Match		40,750	-	-	40,750
Streets Fund 741 - Oak Ave & College Ave Interim Street Improvements		50,000			50,000
Streets Fund 741 - Measure T MOE		379,189	-	-	379,189
TOTAL - Transfers to Other Funds	***2999***	***$ 1,052,939***	***$ -***	***$ -***	***$ 1,052,939***
PEG Access Costs	*6100*	*101*	*561*	571	
PEG Pass Through from Comcast		35,000	-	-	$ 35,000
City Council/Planning Commission Regular Meetings		30,000	-	-	$ 30,000
TOTAL - PEG Access Costs		***$ 65,000***	***$ -***	***$ -***	***$ 65,000***
101 - General Fund Debt Service (4045)					
Retire Principal (4045)	2505	101			
Street Sweeper		59,704			59,704
TOTAL - Retire Principal	***2505***	***$ 59,704***	***$ -***	***$ -***	***$ 59,704***
Interest Expense (4045)	2515	101			
Street Sweeper		3,473			3,473
TOTAL - Interest Expense	***2515***	***$ 3,473***	***$ -***	***$ -***	***$ 3,473***
561 - Water Debt Service (4045)					
Professional Fees (4045)	2140		561		
		-	10,000	-	10,000
TOTAL - Professional Fees	***2140***	***$ -***	***$ 10,000***	***$ -***	***$ 10,000***
Retire Principal (4045)	2505		561		
Chase - Water 2006A Refunding		-	413,100	-	413,100
Water/Wastewater Bond 2012B		-	266,087	-	266,087
TOTAL - Retire Principal	***2505***	***$ -***	***$ 679,187***	***$ -***	***$ 679,187***
Interest Expense (4045)	2515		561		
Chase - Water 2006A Refunding		-	116,353	-	116,353
Water/Wastewater Bond 2012B		-	144,430	-	144,430
TOTAL - Interest Expense	***2515***	***$ -***	***$ 260,783***	***$ -***	***$ 260,783***

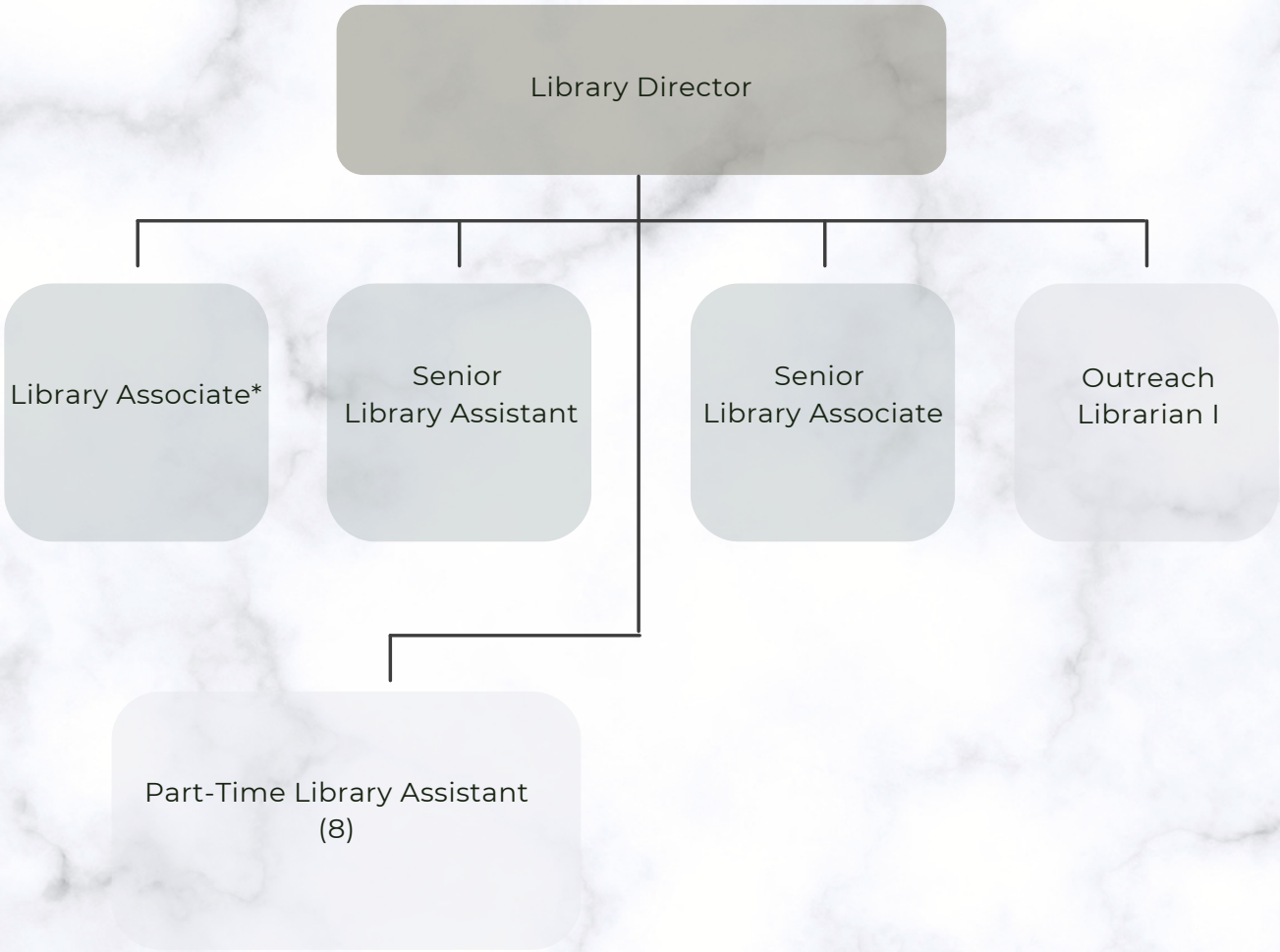
NON-DEPARTMENTAL - 4000
EXPENSE DETAIL

Description	Object Code	Funding Source and Amount Per Funding Source				Total Budgeted
571 - Waste Water Debt Service (4045)						
Professional Fees (4045)	2140			571		
		-	-	5,000		5,000
TOTAL - Professional Fees	***2140***	**$ -**	**$ -**	**$ 5,000**	***$***	***5,000***
Retire Principal (4045)	2505			571		
Wastewater Revenue Bond 2005B		-	-	95,000		95,000
Water/Wastewater Bond 2012B		-	-	73,913		73,913
TOTAL - Retire Principal	***2505***	**$ -**	**$ -**	**$ 168,913**	***$***	***168,913***
Interest Expense (4045)	2515			571		
Wastewater Revenue Bond 2005B		-	-	43,014		43,014
Water/Wastewater Bond 2012B		-	-	40,120		40,120
TOTAL - Interest Expense	***2515***	**$ -**	**$ -**	**$ 83,134**	***$***	***83,134***

Community Services

Library

Organizational Chart
Library



*One FTE Position has been frozen for FY2022-23

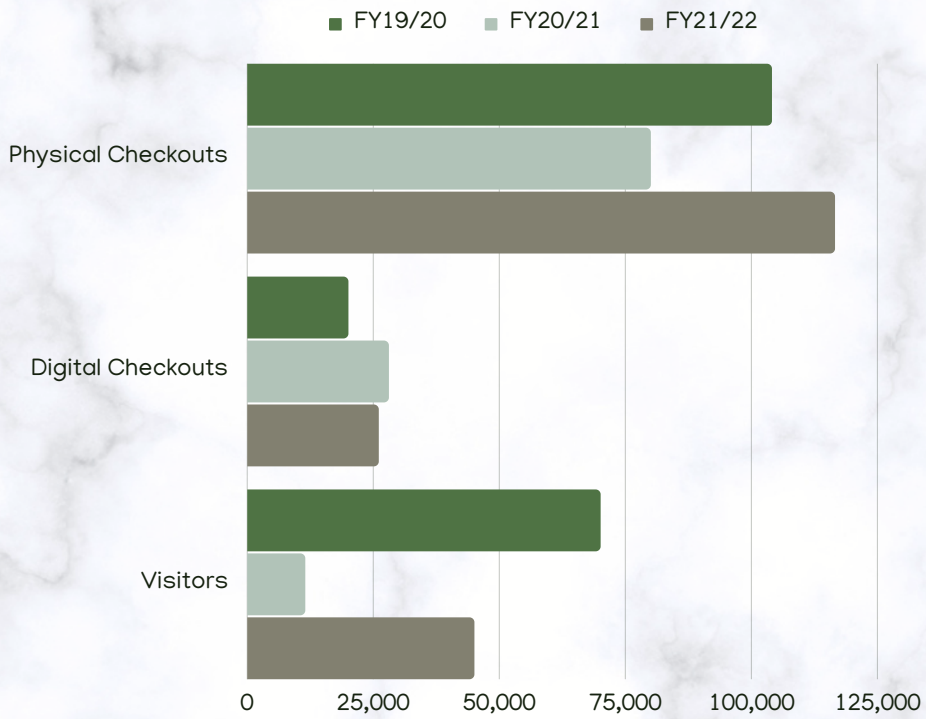
Library (4600)

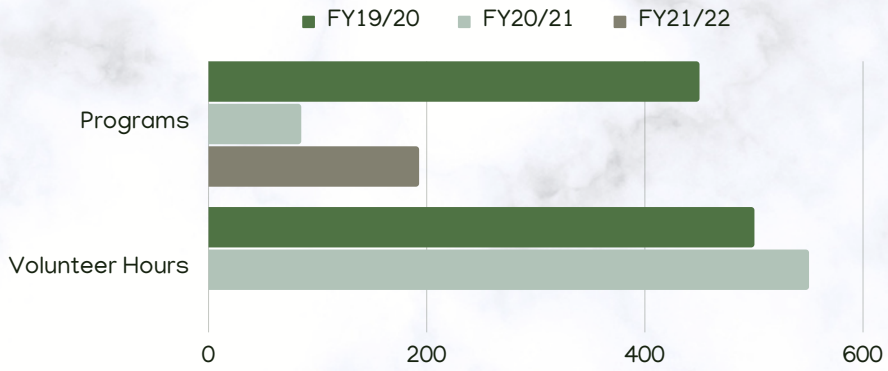
Budget 2022-23

Purpose

Recognized as one of the best libraries in the country, we are a resource for people in their daily lives as they grow, learn, and challenge themselves at every single stage of life and personal development.

We strive to provide resources, space, and opportunities for civic engagement, as well as gateways to education, learning experiences, and enrichment. Our goal is to maintain and continue to achieve the best in library services by managing our resources wisely, preparing for the future, and being responsive to the changing landscape of the community we serve.





Library (4600)
Budget 2022-23

Library Department Goals

- Be a resource for community members in their daily lives as they grow, learn, and challenge themselves at every stage of life and personal development.
- Strive to provide resources, space, and opportunities for civic engagement as well as gateways to education, learning experiences, and enrichment.
- Maintain and continue to deliver the best in library service by managing our resources wisely, preparing for the future, and being responsive to the challenging needs of the community we serve.

Library Accomplishments

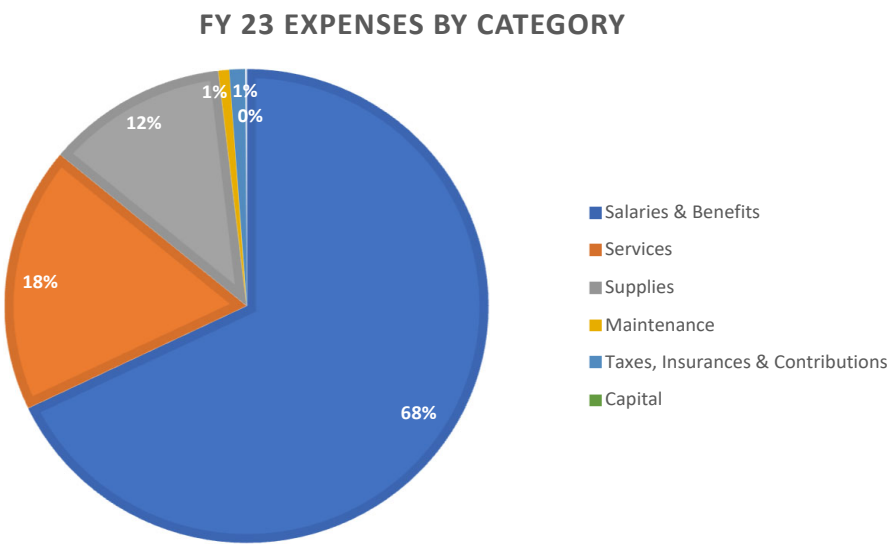
- Library staff was named the St. Helena Chamber of Commerce's Employees of the Year.
- Restarting of in-person programming, which has included: Storytimes, Gingerbread House Decorating, Buttercream Frosting Class, Napa Valley Wine Library Author Talk and Jay Greene's lecture series.
- Library now lends five HP Chromebooks and Wi-Fi Hotspots to Library cardholders.
- Windows-based laptop recycling program. The Library will accept working laptops that are Windows-based for refurbishing. Charging cords must accompany the laptop.
- The Library had a very successful card design contest which resulted in 3 new card designs.
- Library was one of ten pilot sites for the NLM_Cornerstones of Science Test the Waters Kit.

Library

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	994,165	948,576	1,019,271	934,708
218	Public Library Foundation	-	-	1,288	1,300
219	CLSA State Library Grant	-	-	1,350	1,350
380	Friends and Foundation	128,740	108,738	148,435	144,288
382	Martin Estate Trust	-	650	700	700
384	Tweed Trust	31,756	35,896	50,000	50,000
Grand Total		**1,154,661**	**1,093,860**	**1,221,044**	**1,132,346**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
46	***Library***				
20	Salaries & Benefits	876,117	818,119	846,818	768,746
21	Services	153,524	163,843	204,710	205,300
22	Supplies	110,591	92,885	147,752	137,100
23	Maintenance	2,932	7,626	8,300	8,300
24	Taxes, Insurances & Contributions	11,496	11,387	12,176	11,600
26	Capital	-	-	1,288	1,300
Grand Total		**1,154,661**	**1,093,860**	**1,221,044**	**1,132,346**



Library Budget - 4600

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
46	**Library**				
101-46-00-20-10	Salary-Regular	498,916	419,038	421,844	395,004
101-46-00-20-20	Temp/Part Time	25,782	38,152	46,854	49,659
101-46-00-20-30	Overtime	735	493	-	-
101-46-00-20-37	Holiday Pay	761	953	2,387	2,526
101-46-00-20-40	FICA/Medicare	40,072	34,289	35,341	33,387
101-46-00-20-45	Employer PERS	40,347	34,758	35,853	34,508
101-46-00-20-47	PERS Unfunded Liability	64,674	71,967	71,086	51,577
101-46-00-20-55	Health Insurance	123,378	120,121	123,891	95,530
101-46-00-20-61	Workers Comp	5,866	31,333	31,780	26,893
101-46-00-20-65	SDI	4,812	4,331	4,716	3,913
101-46-00-20-75	Deferred Comp	5,168	4,775	8,471	6,961
101-46-00-20-85	Auto Allowance	2,400	2,400	2,400	2,400
101-46-00-20-96	Education Reimbursement	418	-	-	-
20	**Salaries & Benefits**	**813,328**	**762,608**	**784,622**	**702,358**
101-46-00-21-10	Communications	9,201	15,686	15,000	15,000
101-46-00-21-15	Postage	-	-	87	500
101-46-00-21-22	Utilities	48,111	51,620	51,000	60,000
101-46-00-21-27	Equipment Lease Exp	9,670	9,261	9,424	10,000
101-46-00-21-45	Other Contract Services	80,710	87,276	126,949	113,400
101-46-00-21-55	Training & Conference	5,831	-	2,250	4,000
21	**Services**	**153,524**	**163,843**	**204,710**	**202,900**
101-46-00-22-07	Copies	1,792	1,668	3,000	3,000
101-46-00-22-12	Computer Equipment	7,747	-	4,250	4,250
101-46-00-22-13	Office Supplies	1,379	1,486	1,500	1,500
101-46-00-22-15	Special Department Supplies	1,386	85	1,413	1,500
101-46-00-22-16	Library Materials	581	523	-	-
22	**Supplies**	**12,884**	**3,762**	**10,163**	**10,250**
101-46-00-23-35	Software Maintenance	2,932	6,976	7,600	7,600
23	**Maintenance**	**2,932**	**6,976**	**7,600**	**7,600**
101-46-00-24-25	Taxes & Other Charges	11,496	11,387	12,176	11,600
24	**Taxes, Insurances & Contributions**	**11,496**	**11,387**	**12,176**	**11,600**
00	**Administration**	**994,165**	**948,576**	**1,019,271**	**934,708**
218	**Public Library Foundation**				
46	**Library**				
218-46-00-26-40	Furniture & Fixtures	-	-	1,288	1,300
26	**Capital**	**-**	**-**	**1,288**	**1,300**
00	**Administration**	**-**	**-**	**1,288**	**1,300**

Library Budget - 4600

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
219	**CLSA State Library Grant**				
46	**Library**				
219-46-00-22-12	Computer Equipment	-	-	1,350	1,350
22	**Supplies**	**-**	**-**	**1,350**	**1,350**
00	**Administration**	**-**	**-**	**1,350**	**1,350**
380	**Friends and Foundation**				
46	**Library**				
380-46-00-20-20	Temp/Part Time	56,275	49,290	55,022	58,729
380-46-00-20-37	Holiday Pay	2,052	2,254	2,755	2,941
380-46-00-20-40	FICA/Medicare	4,462	3,943	4,420	4,718
380-46-00-20-71	Unemployment	-	24	-	-
20	**Salaries & Benefits**	**62,789**	**55,511**	**62,196**	**66,388**
380-46-00-21-10	Communications	-	-	-	2,400
21	**Services**	**-**	**-**	**-**	**2,400**
380-46-00-22-16	Library Materials	54,604	45,597	70,739	60,000
380-46-00-22-40	Programming	11,293	7,538	15,000	15,000
380-46-00-22-44	Elsie, the Library Cat	54	93	500	500
22	**Supplies**	**65,951**	**53,228**	**86,239**	**75,500**
00	**Administration**	**128,740**	**108,738**	**148,435**	**144,288**
382	**Martin Estate Trust**				
46	**Library**				
382-46-00-23-35	Software Maintenance	-	650	700	700
23	**Maintenance**	**-**	**650**	**700**	**700**
00	**Administration**	**-**	**650**	**700**	**700**
384	**Tweed Trust**				
46	**Library**				
384-46-00-22-15	Special Department Supplies	1,482	1,144	5,000	5,000
384-46-00-22-16	Library Materials	30,275	34,751	45,000	45,000
22	**Supplies**	**31,756**	**35,896**	**50,000**	**50,000**
00	**Administration**	**31,756**	**35,896**	**50,000**	**50,000**
Grand Total		**1,154,661**	**1,093,860**	**1,221,044**	**1,132,346**

LIBRARY - 4600
EXPENSE DETAIL

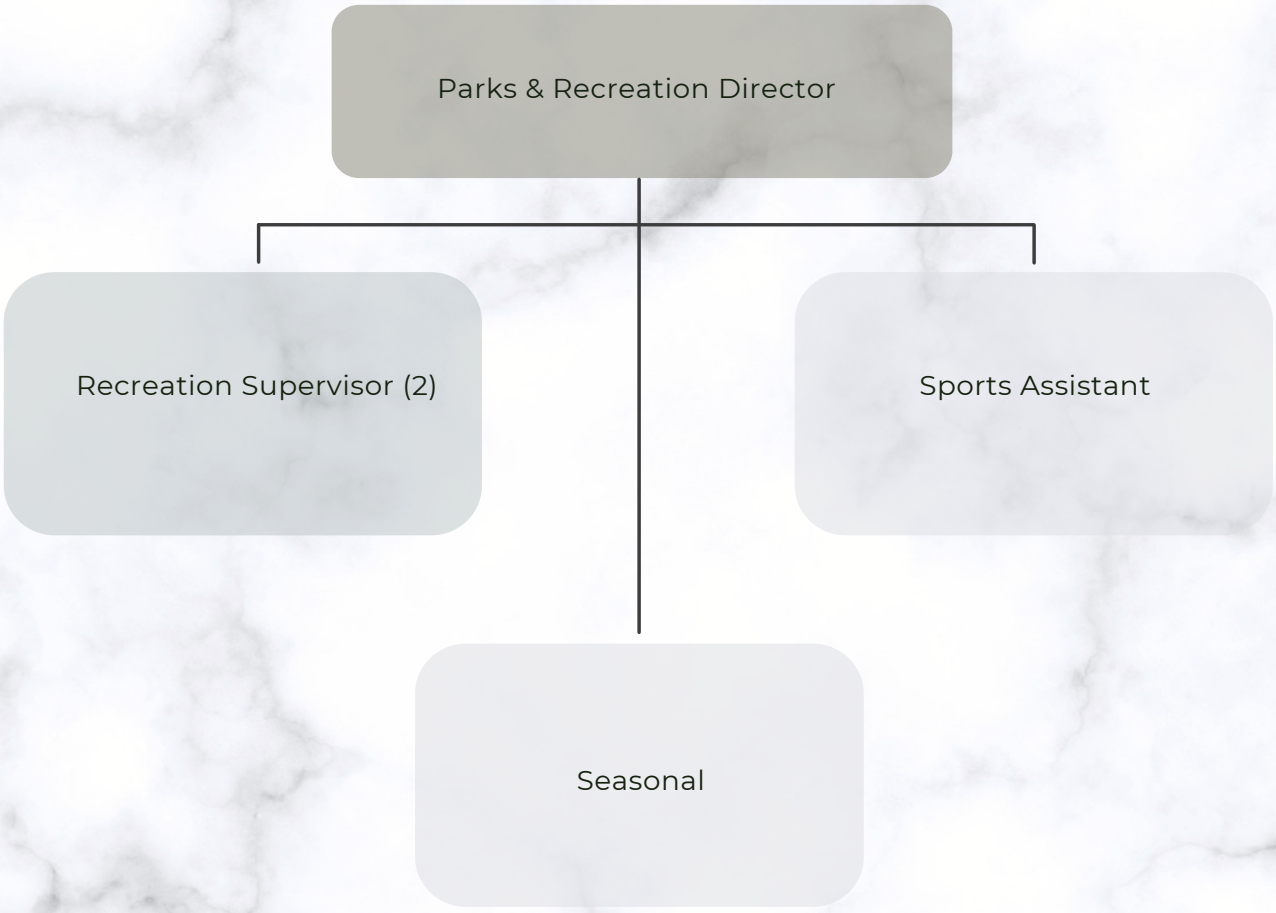
Description	Object Code	Funding Source		Total Budgeted
Communications	*2110*	*101*	*380*	
Telephones		*1,500*	-	1,500
Broadband Fees		*10,500*	-	10,500
Internet Equipment Service Agreement		*3,000*	-	3,000
TOTAL - Communications	***2110***	***$ 15,000***	***$ -***	***$ 15,000***
Equipment Lease	*2127*	*101*	*380*	
Copiers		*10,000*	-	10,000
TOTAL - Equipment Lease	***2127***	***$ 10,000***	***$ -***	***$ 10,000***
Other Contract Services	*2145*	*101*	*380*	
SPLASH (Automation/Databases)		*77,000*	-	77,000
NorthNet Consortium		*19,000*	-	19,000
OCLC On-Line cataloging		*2,800*	-	2,800
Library Security System		*2,900*	-	2,900
STACKS Website		*6,000*	-	6,000
Self-Charge Licensing		*2,800*	-	2,800
Library App (myLIBRO)		*1,400*		1,400
LibraryAware (NextReads/Emails)		*1,500*	-	1,500
TOTAL - Other Contract Services	***2145***	***$ 113,400***	***$ -***	***$ 113,400***
Training & Conference	*2155*	*101*	*380*	
Conferences		*3,000*	-	3,000
Memberships		*1,000*	-	1,000
TOTAL - Training & Conference	***2155***	***$ 4,000***	***$ -***	***$ 4,000***
Computer Equipment	*2212*	*101*	*380*	
MArinIT Spam				
GoPrint Software		*750*	-	750
Userful/Public Computer Software		*3,500*	-	3,500
TOTAL - Computer Equipment	***2212***	***$ 4,250***	***$ -***	***$ 4,250***

LIBRARY - 4600
EXPENSE DETAIL

Description	Object Code	Funding Source		Total Budgeted
Special Department Supplies	*2215*	*101*	*384*	
Supplies for Processing Material (Labels, cases, barcodes, etc.)		-	*5,000*	5,000
Library Cards		*1,500*	-	1,500
TOTAL - Special Department Supplies	***2215***	***$ 1,500***	***$ 5,000***	***$ 6,500***
Library Materials	*2216*	*380*	*384*	
Print, Audiovisual, Digital Content		*60,000*	*15,000*	75,000
Streaming Services (Kanopy, HOOPLA)			*30,000*	30,000
TOTAL - Library Materials	***2216***	***$ 60,000***	***$ 45,000***	***$ 105,000***
Copies	*2207*	*101*	*380*	
Copies made with leased copiers		*3,000*	-	3,000
TOTAL - Copies	***2207***	***$ 3,000***	***$ -***	***$ 3,000***
				$ 118,750
Software Maintenance	*2335*	*101*	*382*	
Brainfuse/Online Homework Help		*5,500*	-	5,500
Mango Languages		*1,600*	-	1,600
AtoZ Database		*500*	-	500
St. Helena Star Digital		-	*700*	700
TOTAL - Software Maintenance	***2335***	***$ 7,600***	***$ 700***	***$ 8,300***

Parks & Recreation

Organizational Chart
Parks & Recreation



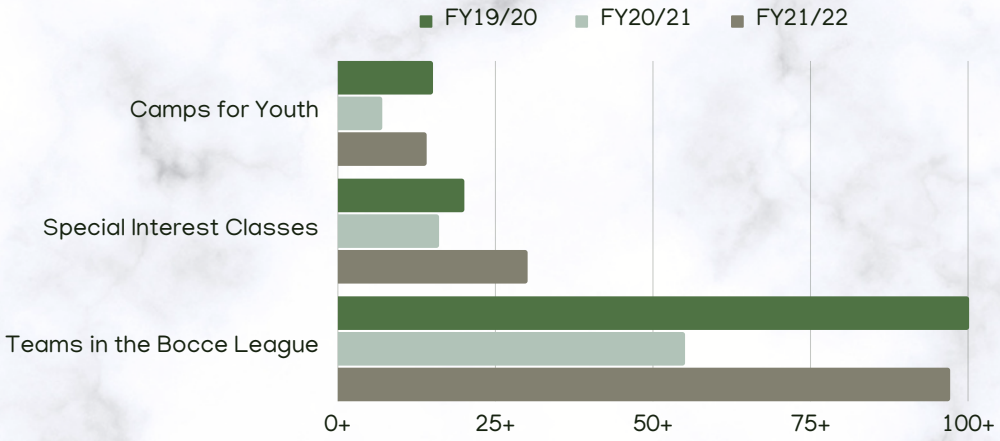
Volunteers (65 +/-)

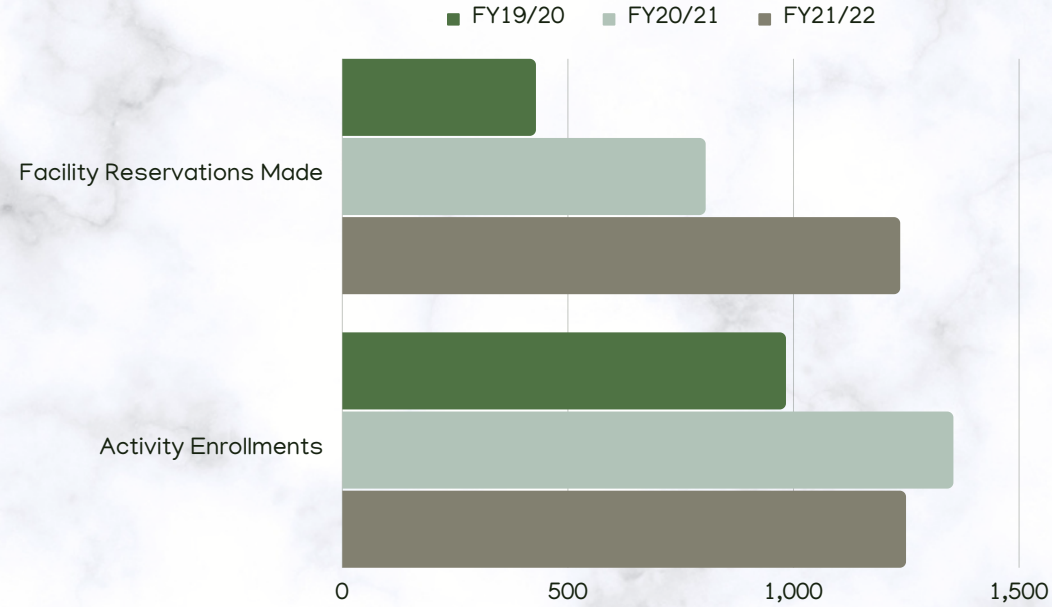
Parks & Recreation (4728)

Budget 2022–23

Purpose

The Parks & Recreation Department provides leisure and community services to the residents of the City and enrichment programs for all ages. Its mission statement is, "Harvesting Community Experiences that Celebrate St. Helena" and its visions statement is, "To be the destination for leisure and community experiences that preserves St. Helena's small town lifestyle." Programs include adult and youth sports such as bocce, softball, basketball & soccer, arts, crafts, drama and music, as well as vocational skills, educational classes, and summer camps & childcare. The Parks & Recreation Director serves as staff liaison to the Parks & Recreation Commission.





Parks & Recreation (4728)
Budget 2022-23

Parks & Recreation Accomplishments

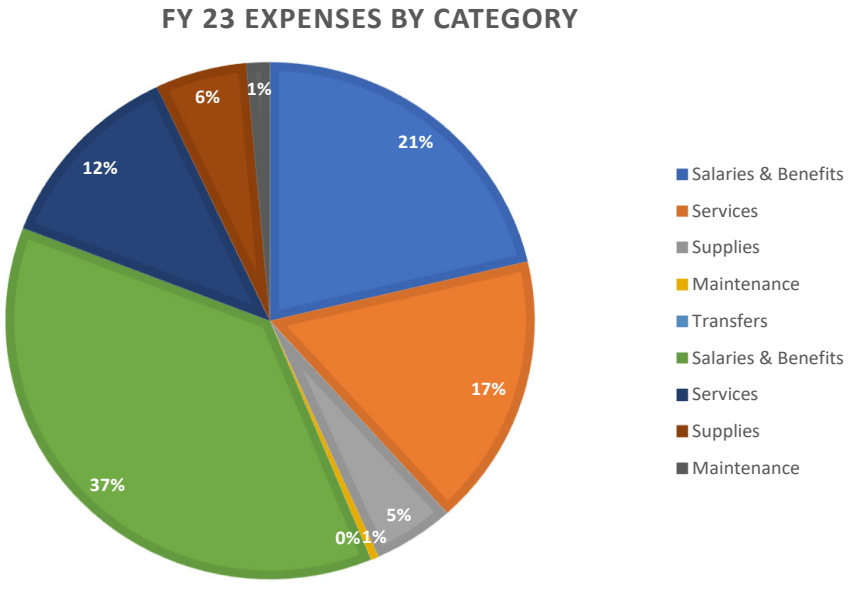
- Hosted a Halloween Community Carving Contest & Pumpkin Stroll for a COVID-19 friendly celebration.
- Hosted the inaugural Halloween Costumed Bike Mask'erade for a COVID-19 friendly costumed bike parade to celebrate Halloween and show off community creativity.
- Celebrated Love Week, which had fun experiences all week long. We also provided a love kit filled with loved-themed activities for all ages.
- Hosted the Barrels of Fun St. Helena Easter Egg Barrel Hunt.
- St. Helena Summer Camps returned in June!
- Aqua Aerobics began May 1st at the St. Helena High School Pool.

Parks & Recreation

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	272,787	594,378	701,597	901,774
286	Bocce Ball	42,545	16,933	64,179	55,159
287	Harvest Festival	9,075	304	15,100	15,100
288	Fourth of July	47,733	1,209	5,000	55,000
289	Recreation Program	473,692	66,421	-	-
713	Civic Impact	-	-	125,000	-
734	Park Impact	-	-	-	125,000
Grand Total		**845,832**	**679,245**	**910,876**	**1,152,033**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
47	***Parks & Recreation***				
20	Salaries & Benefits	570,894	215,985	245,433	245,539
21	Services	145,861	38,022	142,423	196,108
22	Supplies	109,586	28,070	52,500	57,000
23	Maintenance	19,491	2,754	5,500	5,500
29	Transfers	-	56,000	-	-
20	Salaries & Benefits	-	290,559	244,825	427,210
21	Services	-	21,862	139,700	139,700
22	Supplies	-	14,157	64,400	64,400
23	Maintenance	-	11,837	16,095	16,576
Grand Total		**845,832**	**679,245**	**910,876**	**1,152,033**



Parks and Recreation Budget - 4728 and 4740

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
47	**Parks & Recreation**				
101-47-28-20-10	Salary-Regular	136,927	138,289	138,304	131,784
101-47-28-20-40	FICA/Medicare	9,861	9,564	9,689	10,113
101-47-28-20-45	Employer PERS	9,696	10,287	10,580	10,055
101-47-28-20-47	PERS Unfunded Liability	16,348	21,431	20,977	15,029
101-47-28-20-55	Health Insurance	25,041	2,869	1,908	23,904
101-47-28-20-61	Workers Comp	4,412	3,547	3,491	3,302
101-47-28-20-65	SDI	1,142	1,232	1,327	1,217
101-47-28-20-71	Unemployment	-	503	-	-
101-47-28-20-75	Deferred Comp	95	101	206	206
101-47-28-20-85	Auto Allowance	2,160	2,160	2,160	2,160
101-47-28-20-96	Education Reimbursement	265	-	-	-
20	**Salaries & Benefits**	**205,947**	**189,983**	**188,644**	**197,770**
101-47-28-21-05	Advertising	-	-	300	300
101-47-28-21-10	Communications	3,633	5,566	5,900	5,900
101-47-28-21-15	Postage	23	3	100	100
101-47-28-21-30	Professional Contracts	8,335	2,362	4,500	4,500
101-47-28-21-42	Banking Fees	312	2,888	660	3,500
101-47-28-21-44	Online Transaction Fee	34	904	50	50
101-47-28-21-45	Other Contract Services	-	24,781	-	-
101-47-28-21-53	Memberships & Publications	1,315	1,380	655	1,500
101-47-28-21-55	Training & Conference	3,891	100	3,568	3,568
101-47-28-21-60	Other Travel	33	-	100	100
21	**Services**	**17,576**	**37,984**	**15,833**	**19,518**
101-47-28-22-12	Computer Equipment	53	-	-	3,000
101-47-28-22-13	Office Supplies	206	82	500	2,000
101-47-28-22-15	Special Department Supplies	935	959	1,100	1,100
101-47-28-22-44	Swimming Program	-	-	-	-
101-47-28-22-46	Home for the Holidays	1,492	245	1,500	1,500
101-47-28-22-47	Jingle All the Way	38,828	25,000	25,000	25,000
22	**Supplies**	**41,513**	**26,285**	**28,100**	**32,600**
101-47-28-23-20	Tennis Court Maintenance	7,140	1,712	4,000	4,000
101-47-28-23-35	Software Maintenance	612	-	-	-
23	**Maintenance**	**7,751**	**1,712**	**4,000**	**4,000**
28	**Recreation**	**272,787**	**255,964**	**236,577**	**253,888**
101-47-40-20-10	Salary-Regular	-	163,726	98,878	205,395
101-47-40-20-20	Temp/Part Time	-	19,935	62,275	87,266
101-47-40-20-30	Overtime	-	2,233	1,600	1,600
101-47-40-20-37	Holiday Pay	-	-	745	745
101-47-40-20-40	FICA/Medicare	-	13,626	12,458	22,548
101-47-40-20-45	Employer PERS	-	10,100	6,598	13,374
101-47-40-20-47	PERS Unfunded Liability	-	24,197	13,081	10,412
101-47-40-20-55	Health Insurance	-	38,934	32,262	68,470
101-47-40-20-61	Workers Comp	-	15,607	15,381	14,546
101-47-40-20-65	SDI	-	1,718	1,187	2,264

Parks and Recreation Budget - 4728 and 4740

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101-47-40-20-71	Unemployment	-	247	-	-
101-47-40-20-75	Deferred Comp	-	120	241	470
101-47-40-20-85	Auto Allowance	-	115	120	120
20	**Salaries & Benefits**	**-**	**290,559**	**244,825**	**427,210**
101-47-40-21-05	Advertising	-	-	500	500
101-47-40-21-10	Communications	-	1,838	1,800	1,800
101-47-40-21-15	Postage	-	-	100	100
101-47-40-21-22	Utilities	-	1,165	1,350	1,350
101-47-40-21-40	Professional Fees	-	-	600	600
101-47-40-21-42	Banking Fees	-	752	3,400	3,400
101-47-40-21-44	Online Transaction Fee	-	123	1,000	1,000
101-47-40-21-45	Other Contract Services	-	17,598	105,000	105,000
101-47-40-21-52	Facility Rental	-	-	24,000	24,000
101-47-40-21-55	Training & Conference	-	385	1,200	1,200
101-47-40-21-60	Other Travel	-	-	750	750
21	**Services**	**-**	**21,862**	**139,700**	**139,700**
101-47-40-22-11	Fingerprinting	-	-	300	300
101-47-40-22-13	Office Supplies	-	-	500	500
101-47-40-22-15	Special Department Supplies	-	5,847	19,500	19,500
101-47-40-22-41	Supplies - Summer	-	2,057	1,500	1,500
101-47-40-22-42	Supplies for sports programs	-	6,254	12,600	12,600
101-47-40-22-45	Afterschool Enrichment Program	-	-	30,000	30,000
22	**Supplies**	**-**	**14,157**	**64,400**	**64,400**
101-47-40-23-35	Software Maintenance	-	-	1,500	1,500
101-47-40-23-50	Vehicle Alloc Expense	-	11,837	14,595	15,076
23	**Maintenance**	**-**	**11,837**	**16,095**	**16,576**
40	**Vehicle Alloc Expense**	**-**	**338,414**	**465,020**	**647,886**
286	**Bocce Ball**				
47	**Parks & Recreation**				
286-47-28-20-10	Salary-Regular	7,607	7,683	37,103	7,381
286-47-28-20-20	Temp/Part Time	11,983	1,673	-	30,350
286-47-28-20-40	FICA/Medicare	1,464	659	2,789	2,885
286-47-28-20-45	Employer PERS	539	572	2,527	563
286-47-28-20-47	PERS Unfunded Liability	3,603	1,191	5,009	860
286-47-28-20-55	Health Insurance	1,391	160	6,255	1,679
286-47-28-20-61	Workers Comp	2,245	2,168	2,134	3,852
286-47-28-20-65	SDI	63	68	427	68
286-47-28-20-71	Unemployment	7,465	1,278	-	-
286-47-28-20-75	Deferred Comp	5	9	426	11
286-47-28-20-85	Auto Allowance	120	120	120	120
20	**Salaries & Benefits**	**36,486**	**15,580**	**56,789**	**47,769**
286-47-28-21-05	Advertising	-	-	150	150
286-47-28-21-42	Banking Fees	64	22	1,000	1,000
286-47-28-21-44	Online Transaction Fee	38	16	140	140
286-47-28-21-45	Other Contract Services	-	-	200	200

Parks and Recreation Budget - 4728 and 4740

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
21	**Services**	**102**	**38**	**1,490**	**1,490**
286-47-28-22-13	Office Supplies	-	-	400	400
286-47-28-22-15	Special Department Supplies	5,910	272	4,000	4,000
22	**Supplies**	**5,910**	**272**	**4,400**	**4,400**
286-47-28-23-30	Maint Building/Grounds	46	1,043	1,500	1,500
23	**Maintenance**	**46**	**1,043**	**1,500**	**1,500**
28	**Recreation**	**42,545**	**16,933**	**64,179**	**55,159**
287	**Harvest Festival**				
47	**Parks & Recreation**				
287-47-28-21-42	Banking Fees	95	-	100	100
21	**Services**	**95**	**-**	**100**	**100**
287-47-28-22-15	Special Department Supplies	8,980	304	15,000	15,000
22	**Supplies**	**8,980**	**304**	**15,000**	**15,000**
28	**Recreation**	**9,075**	**304**	**15,100**	**15,100**
288	**Fourth of July**				
47	**Parks & Recreation**				
288-47-28-21-42	Banking Fees	56	-	-	500
288-47-28-21-45	Other Contract Services	39,972	-	-	49,500
21	**Services**	**40,028**	**-**	**-**	**50,000**
288-47-28-22-15	Special Department Supplies	7,705	1,209	5,000	5,000
22	**Supplies**	**7,705**	**1,209**	**5,000**	**5,000**
28	**Recreation**	**47,733**	**1,209**	**5,000**	**55,000**
289	**Recreation Program**				
47	**Parks & Recreation**				
289-47-28-20-10	Salary-Regular	176,773	6,868	-	-
289-47-28-20-20	Temp/Part Time	38,707	105	-	-
289-47-28-20-30	Overtime	4,921	498	-	-
289-47-28-20-37	Holiday Pay	223	-	-	-
289-47-28-20-40	FICA/Medicare	16,370	547	-	-
289-47-28-20-45	Employer PERS	10,638	465	-	-
289-47-28-20-47	PERS Unfunded Liability	17,963	-	-	-
289-47-28-20-50	Employee PERS	-	-	-	-
289-47-28-20-55	Health Insurance	40,448	1,859	-	-
289-47-28-20-61	Workers Comp	19,827	-	-	-
289-47-28-20-65	SDI	1,739	70	-	-
289-47-28-20-71	Unemployment	24	-	-	-
289-47-28-20-75	Deferred Comp	707	4	-	-
289-47-28-20-85	Auto Allowance	120	5	-	-
20	**Salaries & Benefits**	**328,461**	**10,421**	**-**	**-**
289-47-28-21-05	Advertising	3	-	-	-

Parks and Recreation Budget - 4728 and 4740

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
289-47-28-21-10	Communications	1,799	-	-	-
289-47-28-21-22	Utilities	466	-	-	-
289-47-28-21-42	Banking Fees	3,106	-	-	-
289-47-28-21-44	Online Transaction Fee	1,020	-	-	-
289-47-28-21-45	Other Contract Services	76,955	-	-	-
289-47-28-21-52	Facility Rental	4,077	-	-	-
289-47-28-21-55	Training & Conference	263	-	-	-
289-47-28-21-60	Other Travel	370	-	-	-
21	**Services**	**88,059**	**-**	**-**	**-**
289-47-28-22-13	Office Supplies	320	-	-	-
289-47-28-22-15	Special Department Supplies	18,330	-	-	-
289-47-28-22-41	Supplies - Summer	341	-	-	-
289-47-28-22-42	Supplies for sports programs	13,593	-	-	-
289-47-28-22-43	Fieldtrips	641	-	-	-
289-47-28-22-44	Swimming Program	-	-	-	-
289-47-28-22-45	Afterschool Enrichment Program	12,255	-	-	-
22	**Supplies**	**45,479**	**-**	**-**	**-**
289-47-28-23-35	Software Maintenance	-	-	-	-
289-47-28-23-50	Vehicle Alloc Expense	11,693	-	-	-
23	**Maintenance**	**11,693**	**-**	**-**	**-**
289-47-28-29-99	Transfer to other Funds	-	56,000	-	-
29	**Transfers**	**-**	**56,000**	**-**	**-**
28	**Recreation**	**473,692**	**66,421**	**-**	**-**
713	**Civic Impact**				
47	**Parks & Recreation**				
713-47-28-21-45	Other Contract Services	-	-	125,000	-
21	**Services**	**-**	**-**	**125,000**	**-**
28	**Recreation**	**-**	**-**	**125,000**	**-**
734	**Park Impact**				
47	**Parks & Recreation**				
734-47-28-21-45	Other Contract Services	-	-	-	125,000
21	**Services**	**-**	**-**	**-**	**125,000**
28	**Recreation**	**-**	**-**	**-**	**125,000**
Grand Total		**845,832**	**679,245**	**910,876**	**1,152,033**

PARKS & RECREATION - 4728
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Professional Contracts	*2130*	*101*	
Marketing		4,500	4,500
TOTAL - Professional Contracts	***2130***	***$ 4,500***	***$ 4,500***
Memberships & Publications	*2153*	*101*	
CPRS (2 employees)		400	400
USTA		90	90
Miscellaneous Memberships		1,010	1,010
TOTAL - Memberships & Publications	***2153***	***$ 1,500***	***$ 1,500***
Special Department Supplies	*2215*	*101*	
Newsletter, Miscellaneous Supplies		1,100	1,100
TOTAL - Special Department Supplies	***2215***	***$ 1,100***	***$ 1,100***
BOCCE BALL - 286			
Special Department Supplies	*2215*	*286*	
Bocce Balls, Equipment		4,000	4,000
TOTAL - Special Department Supplies	***2215***	***$ 4,000***	***$ 4,000***
HARVEST FESTIVAL - 287			
Special Department Supplies	*2215*	*287*	
Bathrooms		1,000	1,000
Security		1,000	1,000
Trash		1,000	1,000
Banners		1,500	1,500
Supplies		500	500
Advertising		2,000	2,000
Bands		2,000	2,000
Miscellaneous		5,000	5,000
T-Shirt		1,000	1,000
TOTAL - Special Department Supplies	***2215***	***$ 15,000***	***$ 15,000***
4TH OF JULY - 288			
Special Department Supplies	*2215*	*288*	
Security		1,500	1,500
Banners		1,500	1,500
Advertising		1,000	1,000
Bathrooms		1,000	1,000
TOTAL - Special Department Supplies	***2215***	***$ 5,000***	***$ 5,000***

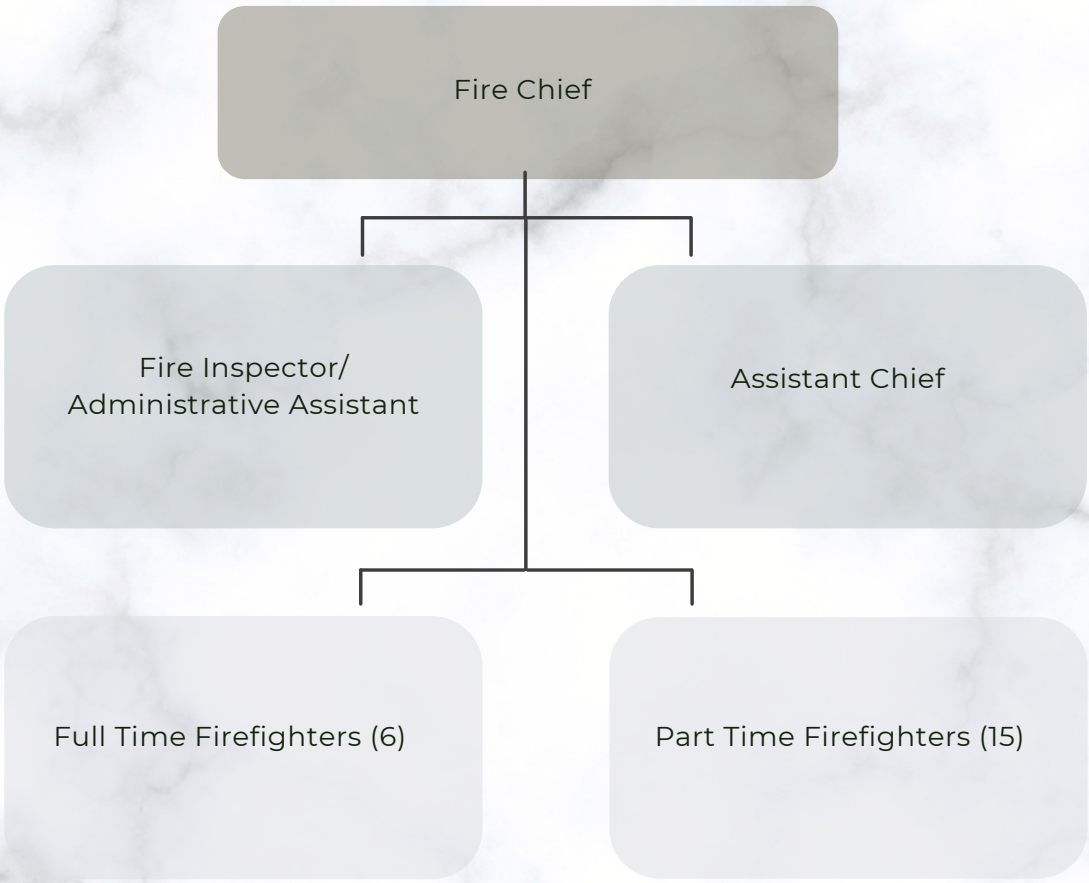
PARKS & RECREATION - 4728
EXPENSE DETAIL

Description	Object Code	Funding Source		Total Budgeted
RECREATION PROGRAM - 4740				
Professional Fees	*2140*	*101*		
CPR		600		600
TOTAL - Professional Fees	***2140***	***$ 600***	***$***	***600***
Other Contract Services	*2145*	*101*		
Instructors		36,000		36,000
Camps		69,000		69,000
TOTAL - Other Contract Services	***2145***	***$ 105,000***	***$***	***105,000***
Facility Rental	*2152*	*101*		
School District - Gym, Fields, etc.		24,000		24,000
TOTAL - Facility Rental	***2152***	***$ 24,000***	***$***	***24,000***
Training and Conferences	*2155*	*101*		
CPRS - Summer Staff		1,200		1,200
TOTAL - Training and Conferences	***2155***	***$ 1,200***	***$***	***1,200***
Other Travel	*2160*	*101*		
Fuel		750		750
TOTAL - Other Travel	***2160***	***$ 750***	***$***	***750***
Special Department Supplies	*2215*	*101*		
Jersey's		9,000		9,000
Equipment		9,000		9,000
Miscellaneous Supplies, Food, Events		1,500		1,500
TOTAL - Special Department Supplies	***2215***	***$ 19,500***	***$***	***19,500***
Software Maintenance	*2335*	*101*		
Recreation Registration		1,500		1,500
TOTAL - Software Maintenance	***2335***	***$ 1,500***	***$***	***1,500***

Public Safety

Fire

Organizational Chart
Fire

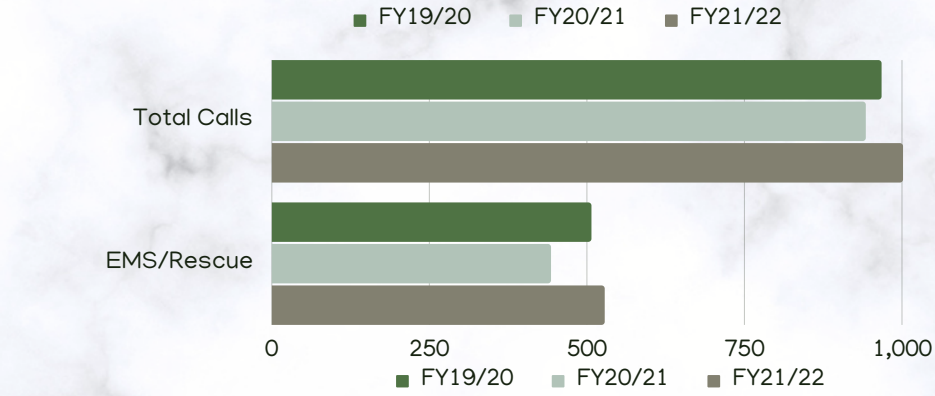


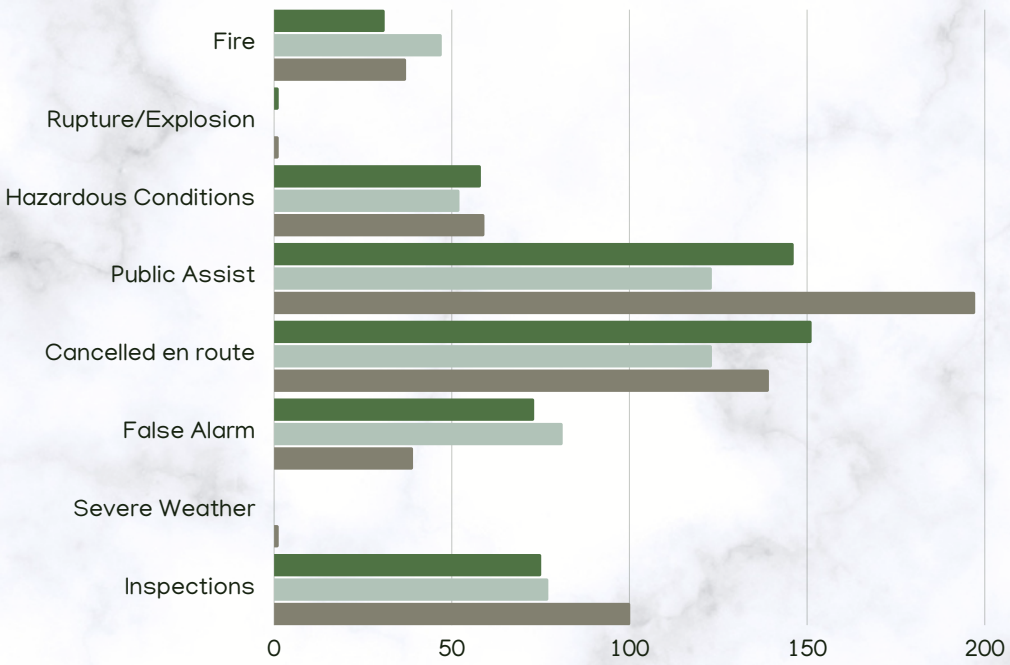
Fire (4800)

Budget 2022-23

Purpose

It is the mission of the members of the St. Helena Fire Department to provide efficient and cost effective services, including: fire protection (prevention and suppression); public life safety education; emergency medical and rescue services; respond to natural and man-made disasters; and respond to incidents involving hazardous materials. The Department provides for the safety of the members of the Fire Department and serves the interest of the residents of the City of St. Helena and the surrounding area.





Fire (4800)
Budget 2022-23

Fire Department Goals

- Paint the Fire Station Exterior
- Put in service new Type 1 Pumper
- Consolidate 3 emergency response software subscriptions into one all-inclusive program
- Maintain highest levels of fire and life safety service to our community
- Captain Nick Solakian – become qualified as a Strike Team Leader
- Chief Sorensen – become qualified as a Safety Officer and Operation Branch Director
- Collaborate with St. Helena Fire Safe Council to ensure community fire safety awareness and responsibility.

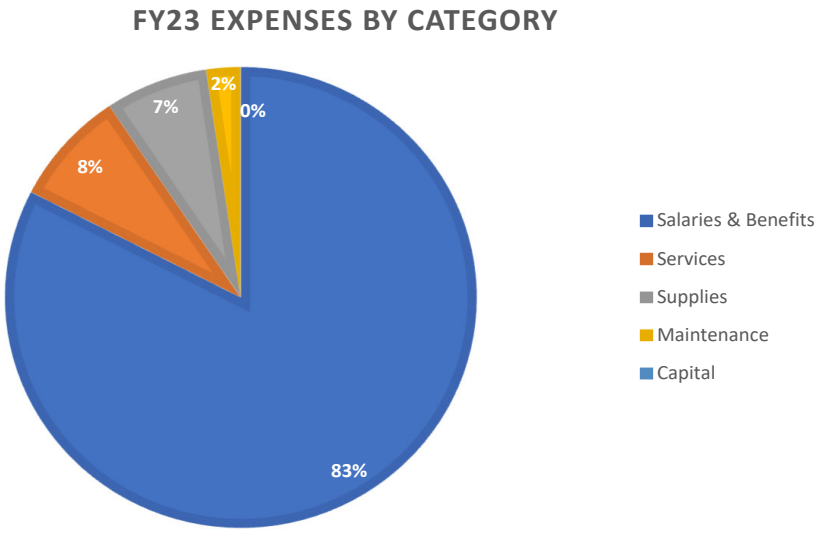
Fire Accomplishments

- Recruited 3 more permanent part-time firefighters.
- Tyler Neiburger was promoted to apparatus Engineer.
- Jesus "Eddie" Rios graduated from the Fire Academy.
- In October 2021 we adopted to a traditional 3 person, 24/7 operating schedule. Using a 48 hour shift structure across 3 shifts A, B and C.
- Hired 4 full-time firefighters to operate the new shift structure.
- Ordered new Type 1 pumper from Pierce. Expected delivery in Spring of 2023.
- Chief Sorensen qualified as a Division/Group Supervisor.
- Created PSPS/Wildfire prevention and education pamphlet delivered to all City households to help improve community response during emergencies.
- Weed abatement – a joint effort with Public Works and community cooperation led to the removal of hazardous vegetation city wide to an extent not previously seen.

Fire
Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	1,611,368	2,167,469	1,663,101	2,063,312
593	Fire Equipment Replacement	463	20,565	59,435	40,000
Grand Total		**1,611,831**	**2,188,033**	**1,722,536**	**2,103,312**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
48	***Fire***				
20	Salaries & Benefits	1,241,448	1,886,932	1,332,838	1,736,459
21	Services	178,699	120,498	176,913	169,123
22	Supplies	141,726	138,862	155,335	148,400
23	Maintenance	47,214	41,742	57,450	49,330
26	Capital	2,745	-	-	-
Grand Total		**1,611,831**	**2,188,033**	**1,722,536**	**2,103,312**



Fire Budget - 4800

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
48	**Fire**				
101-48-00-20-10	Salary-Regular	245,655	268,839	362,524	732,362
101-48-00-20-20	Temp/Part Time	498,269	528,128	500,969	398,658
101-48-00-20-24	Strike Team Salary	80,914	480,741	-	-
101-48-00-20-25	Standby	40,036	39,180	40,000	3,150
101-48-00-20-30	Overtime	83,462	265,907	132,000	172,000
101-48-00-20-37	Holiday Pay	12,624	15,850	27,464	38,599
101-48-00-20-40	FICA/Medicare	73,206	115,230	80,920	103,503
101-48-00-20-45	Employer PERS	43,641	53,034	59,492	86,474
101-48-00-20-47	PERS Unfunded Liability	55,167	10,077	15,338	53,510
101-48-00-20-50	Employee PERS	5,564	2,782	2,785	-
101-48-00-20-55	Health Insurance	56,695	58,398	60,040	80,733
101-48-00-20-61	Workers Comp	40,347	41,895	43,948	51,804
101-48-00-20-65	SDI	2,755	3,586	4,234	4,790
101-48-00-20-71	Unemployment	-	66	-	-
101-48-00-20-75	Deferred Comp	863	967	876	876
101-48-00-20-95	Uniform Allowance	2,250	2,250	2,250	10,000
20	**Salaries & Benefits**	**1,241,448**	**1,886,932**	**1,332,838**	**1,736,459**
101-48-00-21-10	Communications	17,375	20,982	14,500	14,500
101-48-00-21-15	Postage	889	137	500	500
101-48-00-21-22	Utilities	32,267	35,066	40,000	40,000
101-48-00-21-30	Professional Contracts	17,089	6,873	15,000	7,500
101-48-00-21-45	Other Contract Services	13,333	356	9,500	9,500
101-48-00-21-52	Facility Rental	18,600	19,200	4,000	4,000
101-48-00-21-53	Memberships & Publications	6,204	1,958	2,500	2,500
101-48-00-21-54	CAL Fire Dispatch Contract	60,331	25,204	74,213	77,923
101-48-00-21-55	Training & Conference	4,776	10,472	11,700	11,700
101-48-00-21-70	Fire Prevention Education	7,835	250	5,000	1,000
21	**Services**	**178,699**	**120,498**	**176,913**	**169,123**
101-48-00-22-12	Computer Equipment	47	-	-	-
101-48-00-22-13	Office Supplies	2,072	292	2,000	2,000
101-48-00-22-15	Special Department Supplies	71,005	34,116	31,400	31,400
101-48-00-22-17	Field Supplies	6,991	6,251	5,500	7,500
101-48-00-22-25	Fuel/Oil	10,234	17,639	12,000	22,500
101-48-00-22-26	Outside Vehicle Maint	47,957	55,020	40,000	40,000
101-48-00-22-28	Vehicle Parts	2,957	4,979	5,000	5,000
22	**Supplies**	**141,263**	**118,297**	**95,900**	**108,400**
101-48-00-23-15	Maint Machine/Equipment	9,934	18,289	17,500	17,500
101-48-00-23-30	Maint Buildings/Grounds	25,826	10,147	26,648	17,000
101-48-00-23-35	Software Maintenance	11,454	13,305	13,302	14,830
23	**Maintenance**	**47,214**	**41,742**	**57,450**	**49,330**

Fire Budget - 4800

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101-48-00-26-30	Capital Equipment	-	-	-	-
101-48-00-26-40	Furniture & Fixtures	2,745	-	-	-
26	**Capital**	**2,745**	**-**	**-**	**-**
00	**Administration**	**1,611,368**	**2,167,469**	**1,663,101**	**2,063,312**
592	**Equipment Replacement Fund**				
48	**Fire**				
593-48-00-22-15	Special Department Supplies	463	20,565	59,435	40,000
22	**Supplies**	**463**	**20,565**	**59,435**	**40,000**
00	**Administration**	**463**	**20,565**	**59,435**	**40,000**
Grand Total		**1,611,831**	**2,188,033**	**1,722,536**	**2,103,312**

FIRE - 4800
EXPENSE DETAIL

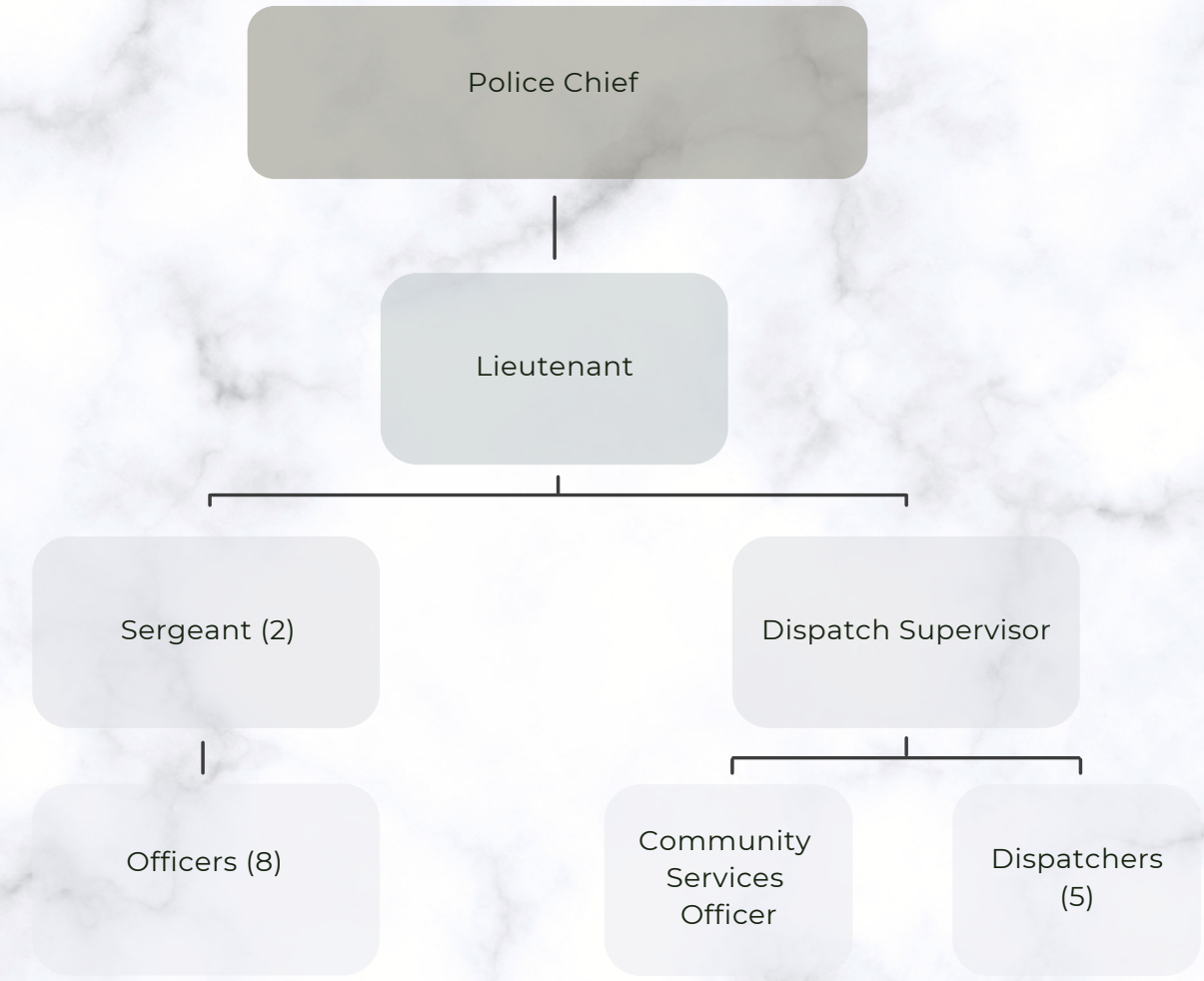
Description	Object Code	Funding Source	Total Budgeted
Communications	*2110*	*101*	
Cell, Satellite Phones, Comcast, EOC Lines		14,500	14,500
TOTAL - Communications	***2110***	***$ 14,500***	***$ 14,500***
Professional Contracts	*2130*	*101*	
Physicals		*5,700*	5,700
Medical Cache Annual Fee		*500*	500
Training Ground Annual Fee		*500*	500
EMS Region Fee		*500*	500
Fire Safety House Annual Fee		*300*	300
TOTAL - Professional Contracts	***2130***	***$ 7,500***	***$ 7,500***
Other Contract Services	*2145*	*101*	
Adapt Management		9,500	9,500
TOTAL - Other Contract Services	***2145***	***$ 9,500***	**$ 9,500**
Memberships & Publications	*2153*	*101*	
Ca. State Firefighters Association		2,500	2,500
TOTAL - Memberships & Publications	***2153***	***$ 2,500***	**$ 2,500**
Training and Conferences	*2155*	*101*	
Misc. Education & Training		11,700	11,700
TOTAL - Training and Conferences	***2155***	***$ 11,700***	***$ 11,700***
Fire Prevention Education	*2170*	*101*	
Weed Abatement (Outreach)		500	500
Kiddie Tours (Supplies)		500	500
TOTAL - Fire Prevention Education	***2170***	***$ 1,000***	***$ 1,000***
Special Department Supplies	*2215*	*101*	
Annual Supplies		14,400	14,400
SCBA		16,000	16,000
Class "A" Foam		1,000	1,000
TOTAL - Special Department Supplies	***2215***	***$ 31,400***	**$ 31,400**
Field Supplies	*2217*	*101*	
Disposable Medical Supplies		7,500	7,500
TOTAL - Field Supplies	***2217***	***$ 7,500***	**$ 7,500**
Machinery & Equipment Maintenance	*2315*	*101*	
SCBA Testing & Maintenance		5,250	5,250
Truck Maintenance		3,250	3,250

FIRE - 4800
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Replacement Tires		3,250	3,250
Ladder Testing		1,250	1,250
Extrication Tool Annual Maintenance		2,250	2,250
Refrigerator/Stove Service		2,250	2,250
TOTAL - Machine & Equipment Maintenance	***2315***	***$ 17,500***	**$ 17,500**
Software Maintenance	*2335*	*101*	
ImageTrend		10,500	10,500
Zoll Data Systems		2,230	2,230
Active 911		300	300
Incident Management Software Maint.		1,800	1,800
TOTAL - Software Maintenance	***2335***	***$ 14,830***	**$ 14,830**
EQUIPMENT REPLACEMENT FUND FIRE - 593			
Special Department Supplies	*2215*	*593*	
Personal Protective Equipment (PPE)		20,000	20,000
Tools		15,000	15,000
Radio Repair/Replacement		5,000	5,000
TOTAL - Special Department Supplies	***2215***	***$ 40,000***	**$ 40,000**

Police

Organizational Chart
Police



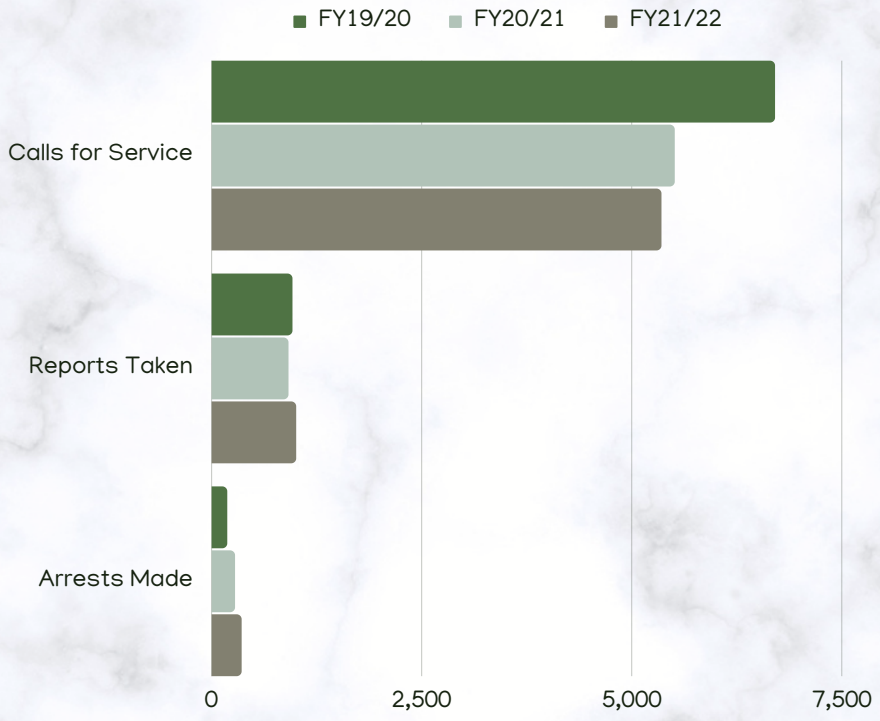
Volunteers (7)

Police (4900)

Budget 2022-23

Purpose

The Police Department is responsible for protection of life and property, the maintenance of order, the control and prevention of crime, and the enforcement of vehicle laws and regulations. The department is to carry out its responsibilities in a prudent and fair manner respecting individual dignity regardless of age, sex, social status, ethnic group, or creed. The Police Department, in its ongoing effort to alleviate crime problems in St. Helena, will be flexible and innovative in attempts to find superior methods of serving the populace.



Police (4900)
Budget 2022-23

Police Department Goals

- Relocate the Police Department from current location to Napa Valley College.
- Solidify radio transmission necessities for new location.
- Complete shooting range repairs for continued all State mandated firearms training.
- Continue annual Police Policy Review and Social Justice, Equity, and Inclusion discussions to ensure the Police Department aligns with City Core Values.
- Implement emergency evacuation plan and procedures (Zonehaven).

Police Accomplishments

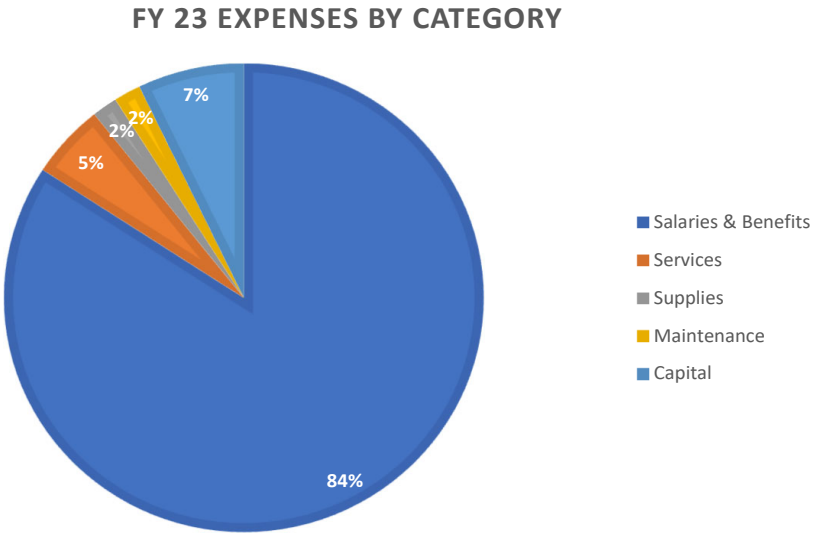
- Conducted first D.A.R.E. training in over 20 years.
- Hired one Full Time Officer.
- Added Military Equipment Policy.
- Replaced Bullet Trap at the Range which was destroyed in the Glass Fire.
- All Officers Completed De-Escalation and Crisis Intervention Training.
- Renewed School Resource Officer Grant.
- Coordinated Live Active Shooter exercise with SHFD and SHUSD.
- Completed numerous in-depth Felony investigations which have been filed by the NDA. Elder Abuse resulting in death, Sexual Assaults of a minors, Human Trafficking, Hit and run with major injuries. Embezzlement and Grand Theft.
- Conducted sting operations with allied State and Federal Agencies to include - Shoulder Tap (Sell or serve alcohol to a minor), Pedestrian Sting, Contractor Stings and Chauffer compliance Stings.
- Conducted Live Evacuation Drill with Vineyard Valley Residents.

Police

Expenses by Fund by Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	3,024,444	2,987,085	3,325,398	3,639,929
212	Department of Homeland Secur	-	-	-	400
224	Public Safety (COPS)	87,122	79,057	133,400	133,400
238	Training Development Fund	5,637	1,549	8,000	8,000
277	Prop 56 Grant	31,477	46,312	-	146,723
279	Asset Forfeit	2,609	3,072	6,500	6,500
375	Murray Ex Trust	34,566	-	4,860	4,860
592	Equipment Replacement Fund	-	-	-	250,000
Grand Total		**3,185,854**	**3,117,075**	**3,478,159**	**4,189,813**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
49	***Police***				
20	Salaries & Benefits	2,899,324	2,840,688	3,050,826	3,527,222
21	Services	149,915	163,425	212,150	214,350
22	Supplies	77,606	23,016	71,160	71,560
23	Maintenance	59,010	60,480	73,976	76,379
26	Capital	-	29,465	70,046	300,301
Grand Total		**3,185,854**	**3,117,075**	**3,478,159**	**4,189,813**



Police Budget - 4900

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
49	**Police**				
101-49-00-20-10	Salary-Regular	1,473,544	1,429,793	1,566,157	1,734,839
101-49-00-20-30	Overtime	236,815	204,466	198,800	198,800
101-49-00-20-37	Holiday Pay	55,630	47,807	55,257	61,237
101-49-00-20-40	FICA/Medicare	132,582	127,251	136,420	148,472
101-49-00-20-45	Employer PERS	230,206	222,664	256,024	282,866
101-49-00-20-47	PERS Unfunded Liability	266,414	298,283	304,593	389,702
101-49-00-20-55	Health Insurance	348,307	339,978	403,093	426,798
101-49-00-20-61	Workers Comp	90,418	87,611	88,494	88,494
101-49-00-20-65	SDI	16,807	17,964	20,990	21,293
101-49-00-20-71	Unemployment	-	3,152	-	-
101-49-00-20-75	Deferred Comp	3,328	6,119	5,848	5,848
101-49-00-20-85	Auto Allowance	1,543	2,400	2,400	2,400
101-49-00-20-95	Uniform Allowance	11,750	13,100	12,750	19,750
101-49-00-20-96	Education Reimbursement	503	-	-	-
20	**Salaries & Benefits**	**2,867,847**	**2,800,588**	**3,050,826**	**3,380,499**
101-49-00-21-10	Communications	16,820	16,394	23,000	23,000
101-49-00-21-15	Postage	1,391	1,160	1,500	1,500
101-49-00-21-27	Equipment Lease Exp	2,878	3,225	3,500	3,500
101-49-00-21-30	Professional Contracts	25,000	30,978	30,000	30,000
101-49-00-21-40	Professional Fees	4,187	1,424	10,000	10,000
101-49-00-21-45	Other Contract Services	32,794	39,679	40,600	42,800
101-49-00-21-53	Memberships & Publications	1,227	540	3,400	3,400
101-49-00-21-55	Training & Conference	2,076	(351)	3,750	3,750
21	**Services**	**86,373**	**93,050**	**115,750**	**117,950**
101-49-00-22-07	Copies	2,179	193	2,300	2,300
101-49-00-22-08	Police Dept Youth Activity	1,731	-	2,000	2,000
101-49-00-22-12	Computer Equipment	-	664	2,000	2,000
101-49-00-22-13	Office Supplies	2,604	1,032	3,000	3,000
101-49-00-22-15	Special Department Supplies	4,681	1,612	5,500	5,500
101-49-00-22-17	Field Supplies	19	-	-	-
22	**Supplies**	**11,214**	**3,502**	**14,800**	**14,800**
101-49-00-23-35	Software Maintenance	543	174	1,000	1,000
101-49-00-23-50	Vehicle Alloc Expense	58,467	60,306	72,976	75,379
23	**Maintenance**	**59,010**	**60,480**	**73,976**	**76,379**
101-49-00-26-30	Capital Equipment	-	29,465	69,796	50,051
101-49-00-26-40	Furniture & Fixtures	-	-	250	250
26	**Capital**	**-**	**29,465**	**70,046**	**50,301**
00	**Public Safety**	**3,024,444**	**2,987,085**	**3,325,398**	**3,639,929**
212	**Department of Homeland Secur**				
49	**Police**				
212-49-00-22-15	Special Department Supplies	-	-	-	400
22	**Supplies**	**-**	**-**	**-**	**400**

Police Budget - 4900

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
00	**Public Safety**	**-**	**-**	**-**	**400**
224	**Public Safety (COPS)**				
49	**Police**				
224-49-00-21-30	Professional Contracts	54,150	59,872	73,400	73,400
224-49-00-21-45	Other Contract Services	-	-	5,000	5,000
224-49-00-21-55	Training & Conference	3,755	8,954	10,000	10,000
21	**Services**	**57,906**	**68,826**	**88,400**	**88,400**
224-49-00-22-12	Computer Equipment	5,232	163	5,000	5,000
224-49-00-22-15	Special Department Supplies	5,267	2,370	10,000	10,000
224-49-00-22-17	Field Supplies	18,718	7,698	30,000	30,000
22	**Supplies**	**29,217**	**10,231**	**45,000**	**45,000**
00	**Public Safety**	**87,122**	**79,057**	**133,400**	**133,400**
238	**Training Development Fund**				
49	**Police**				
238-49-00-21-55	Training & Conference	5,637	1,549	8,000	8,000
21	**Services**	**5,637**	**1,549**	**8,000**	**8,000**
00	**Public Safety**	**5,637**	**1,549**	**8,000**	**8,000**
277	**Prop 56 Grant**				
49	**Police**				
277-49-00-20-10	Salary-Regular	21,924	23,967	-	95,921
277-49-00-20-30	Overtime	-	3,918	-	-
277-49-00-20-37	Holiday Pay	-	-	-	4,243
277-49-00-20-40	FICA/Medicare	1,677	2,063	-	7,662
277-49-00-20-45	Employer PERS	2,858	3,126	-	12,961
277-49-00-20-55	Health Insurance	3,191	5,428	-	23,529
277-49-00-20-61	Workers Comp	1,340	1,040	-	-
277-49-00-20-65	SDI	219	322	-	1,102
277-49-00-20-75	Deferred Comp	18	17	-	55
277-49-00-20-95	Police Dept Uniform	250	219	-	1,250
20	**Salaries & Benefits**	**31,477**	**40,101**	**-**	**146,723**
277-49-00-22-15	Special Department Supplies	-	6,211	-	-
22	**Supplies**	**-**	**6,211**	**-**	**-**
00	**Public Safety**	**31,477**	**46,312**	**-**	**146,723**
279	**Asset Forfeit**				
49	**Police**				
279-49-00-22-15	Special Department Supplies	2,609	3,072	6,500	6,500
22	**Supplies**	**2,609**	**3,072**	**6,500**	**6,500**
00	**Public Safety**	**2,609**	**3,072**	**6,500**	**6,500**
375	**Murray Ex Trust**				
49	**Police**				

Police Budget - 4900

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
375-49-00-22-15	Special Department Supplies	34,566	-	4,860	4,860
22	**Supplies**	**34,566**	**-**	**4,860**	**4,860**
00	**Administration**	**34,566**	**-**	**4,860**	**4,860**
592	**Equipment Replacement Fund**				
49	**Police**				
592-49-00-26-30	Capital Equipment	-	-	-	250,000
26	**Capital**	**-**	**-**	**-**	**250,000**
00	**Public Safety**	**-**	**-**	**-**	**250,000**
Grand Total		**3,185,854**	**3,117,075**	**3,478,159**	**4,189,813**

POLICE - 4900
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Professional Contract Services	*2130*	*101*	
Up Valley Family Center		*30,000*	30,000
TOTAL - Professional Contract Services	***2130***	***$ 30,000***	***$ 30,000***
Professional Fees	*2140*	*101*	
Pre-Employment Psychological, Medical, and Other Related Services		*5,000*	5,000
Third Party Investigations		*5,000*	5,000
TOTAL - Professional Fees	***2140***	***$ 10,000***	***$ 10,000***
Other Contract Services	*2145*	*101*	
Nixle		*2,500*	2,500
WCAL		*2,500*	2,500
SANE/SART		*2,500*	2,500
St. Helena Car Wash		*1,200*	1,200
AVTEC		*5,000*	5,000
RIMS		*19,200*	19,200
Body Camera Program		*8,000*	8,000
LEFTA Program		*1,600*	1,600
Fast Track		*300*	300
TOTAL - Other Contract Services	***2145***	***$ 42,800***	***$ 42,800***
Memberships & Publications	*2153*	*101*	
Cal Chiefs		1,200	1,200
IACP		300	300
CPOA		500	500
CAPE		100	100
NAFBI		300	300
Swat/Firearm		200	200
Subscriptions		200	200
CAL PELRA		600	600
TOTAL - Memberships & Publications	***2153***	***$ 3,400***	**$ 3,400**
Training & Conference	*2155*	*101*	
CAL PELRA		*3,750*	3,750
TOTAL - Training & Conference	***2155***	***$ 3,750***	***$ 3,750***
Special Department Supplies	*2215*	*101*	
Senior Volunteer Program Supplies		*3,000*	3,000
Miscellaneous		*2,500*	2,500
TOTAL - Special Department Supplies	***2215***	***$ 5,500***	***$ 5,500***

POLICE - 4900 EXPENSE DETAIL			
Description	**Object Code**	**Funding Source**	**Total Budgeted**
Software Maintenance	*2335*	*101*	
Anti-Virus		*1,000*	1,000
TOTAL - Software Maintenance	***2335***	***$ 1,000***	***$ 1,000***
Capital Equipment	*2630*	*101*	
CIBRS/RIMS		*25,000*	25,000
Encrypted Radio Communications Upgrade		*14,500*	14,500
Upgrade Communications Repeater		*10,551*	10,551
TOTAL - Capital Equipment	***2630***	***$ 50,051***	***$ 50,051***

PUBLIC SAFETY (COPS) - 224			
Professional Contract Services	*2130*	*224*	
NSIB Contract		*45,000*	45,000
County Communication Services		*1,000*	1,000
Live Scan Contract		*8,000*	8,000
Entersect/NetMotion/Copware/ Language Line		*4,300*	4,300
Data Ticket Contract		*1,200*	1,200
CJ's K9 Training Contract		*6,000*	6,000
Animal Medical Service		*3,000*	3,000
Booking Fees		*1,500*	1,500
CLETS Access		*3,100*	3,100
Critical Reach		*300*	300
TOTAL - Professional Contract Services	***2130***	***$ 73,400***	**$ 73,400**
Other Contract Services	*2145*	*224*	
RIMS Dispatch Updates		*2,500*	2,500
Interview Software Maintenance Contract		*2,500*	2,500
TOTAL - Other Contract Services	***2145***	***$ 5,000***	***$ 5,000***
Training and Conferences	*2155*	*224*	
POST Training		2,500	2,500
Domain Specific Conferences		5,000	5,000
Miscellaneous Conferences		2,500	2,500
TOTAL - Training and Conferences	***2155***	***$ 10,000***	***$ 10,000***
Computer Equipment	*2212*	*224*	
Cameras		*5,000*	5,000
TOTAL - Other Contract Services	***2212***	***$ 5,000***	***$ 5,000***

POLICE - 4900
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Special Department Supplies	*2215*	*224*	
Reporting Writing License/Software Upgrades		3,000	3,000
Radar Units		5,000	5,000
Defibulator Maintenance		2,000	2,000
TOTAL - Special Department Supplies	***2215***	***$ 10,000***	**$ 10,000**
Field Supplies	*2217*	*224*	
Notebooks, Recording Devices		1,500	1,500
Narcotic Kits, PAZ Devices, Flashlights, & Chargers		2,500	2,500
Ticket Books		3,000	3,000
Flares, Gloves, First Aid, Batteries, Etc.		5,000	5,000
Ammunition		5,000	5,000
Firearm/Rifle Replacement		5,000	5,000
Portable Radio Repair & Replacement		1,000	1,000
Simunitions		3,000	3,000
Bullet Proof Vest Replacement		4,000	4,000
TOTAL - Field Supplies	***2217***	***$ 30,000***	**$ 30,000**

TRAINING DEVELOPMENT FUND - 238

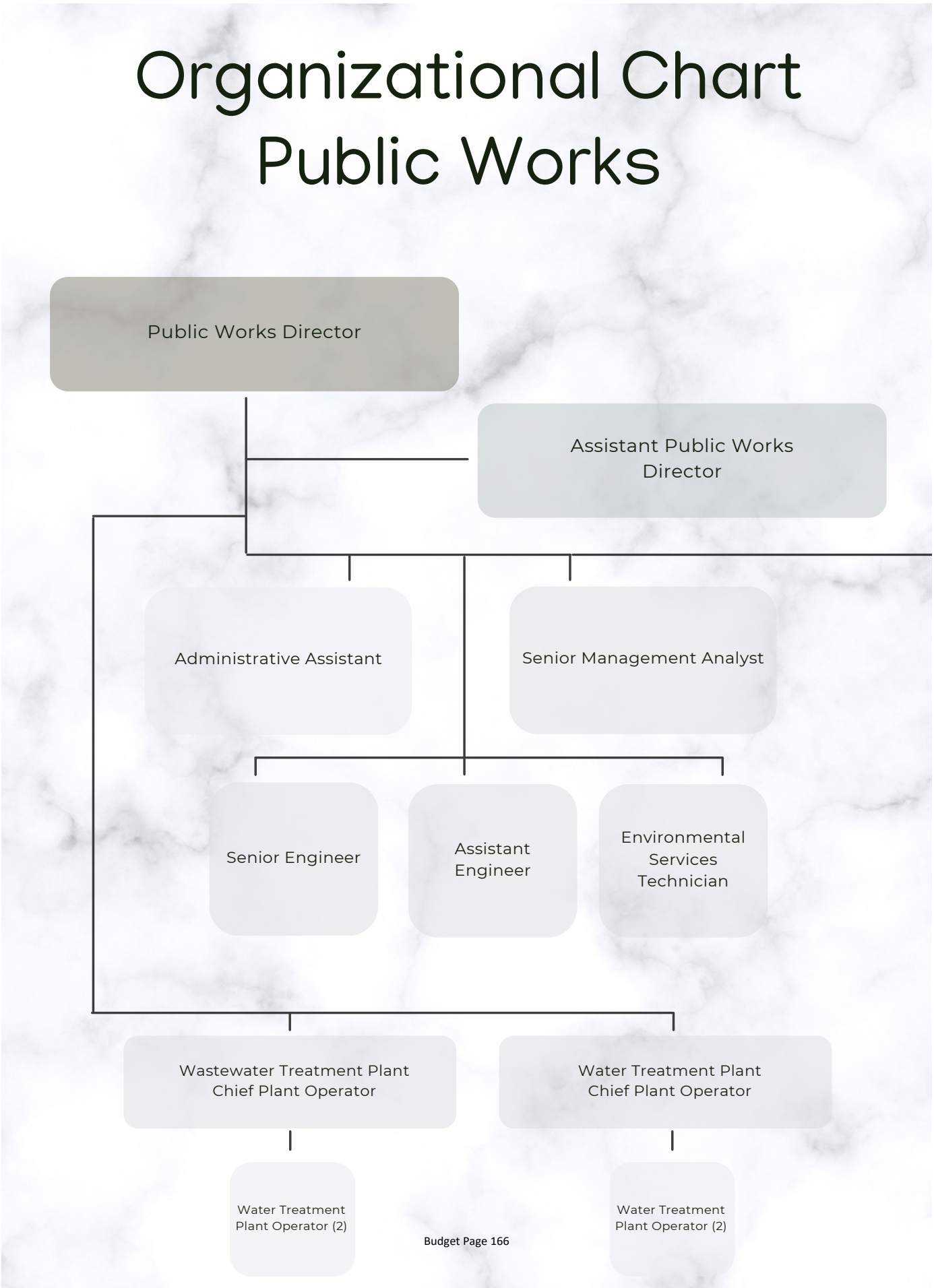
POST Reimbursable Training	*2155*	*238*	
Training		8,000	8,000
TOTAL - Post Reimburseable Training	***2155***	***$ 8,000***	***$ 8,000***

ASSET FORFEITURE FUND - 279

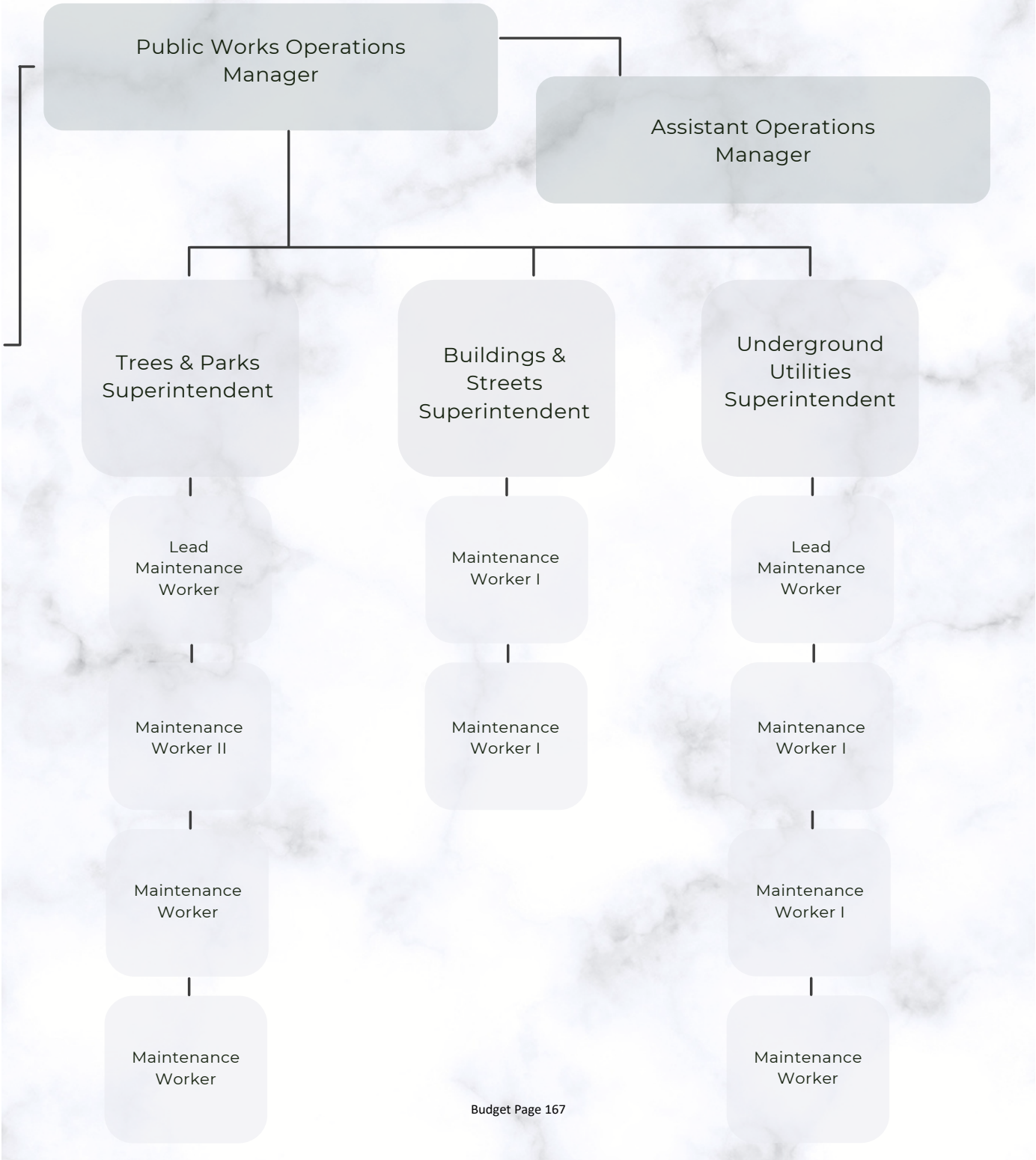
Special Department Supplies	*2215*	*279*	
Tasers and Cartridges		5,000	5,000
Drug Education Prevention Supplies		1,500	1,500
TOTAL - Special Department Supplies	***2215***	***$ 6,500***	**$ 6,500**

Public Works

Organizational Chart
Public Works



Organizational Chart
Public Works



Public Works (5000)

Budget 2022-23

Purpose

• (5000) Administration – Department of Public Works (DPW) Administration manages the operating divisions of Public Works and provides the services of the City Engineer, Property Officer, Floodplain Administrator, City Surveyor, Stormwater Program Coordinator, and Water Use Efficiency Office.

• (5006) Government Buildings – The Government Buildings/Grounds Division of the Department of Public Works is funded by the General Fund and its budget accounts for the total costs of managing and providing maintenance (plumbing, electrical, carpentry, lock smith work, etc.) and custodial services to City buildings (approximately 65,000 square feet). The Division is also responsible for managing supply orders and deliveries, inspection and maintenance of oil recycling area, handicapped lifts, e-waste collection and recycling, and fire extinguisher service. This division's budget includes, utilities, janitorial costs, air conditioning/heating repairs, and maintenance services.

• (5013) Storm Drains – The purpose of the Storm Water Division is to operate, maintain and improve drainage and flood control facilities.

• (5015) Streets – The Streets Maintenance/Operation Division is responsible for maintaining City streets in a safe and accessible condition with proper and adequate street signage; striping and painting of curbs; sweeping of all City streets and Main Street sidewalks; routine pavement, sidewalk, and curb repairs; maintenance of traffic structures; street lighting; vegetation removal; and cleanup of spills and discharges.

• (5026) Trees – Tree City USA is a division of the Public Works Department under direct supervision of the Parks Supervisor. This Division is responsible for the maintenance of all trees contained in City owned parks, along Main Street and the 15 Heritage Trees in public rights-of-way. Division activities include the planting of new trees, oversight of major pruning projects, minor pruning, and pesticide applications. The division also conducts inspections for tree permits and City approvals involving tree issues.

• (5027) Parks – The Parks Division of the Public Works Department maintains ten parks, four pathways, street trees, benches, and parking lots. In addition, this Division maintains the landscaping around five government buildings, is responsible for herbicide applications around all City facilities and roadsides (approximately forty acres), and assists the general public with water conservation measures during drought periods. This Division provides maintenance labor for Tree City U.S.A.

• (5037) City Garage – The City Garage Division of the Public Works Department is an internal service fund designed to account for the total costs of maintaining a fleet of 40+ vehicles and other equipment owned by the City. Costs are allocated to the various user departments based on time and materials within those departments. The Division strives to provide timely, efficient, and cost-effective maintenance and repairs on City owned vehicles. The City Garage also records and maintains all fleet maintenance records, specifies repair parts and replacement vehicles, and handles all aspects of fleet management for the City excluding Fire Department vehicles.

Public Works Accomplishments CIP

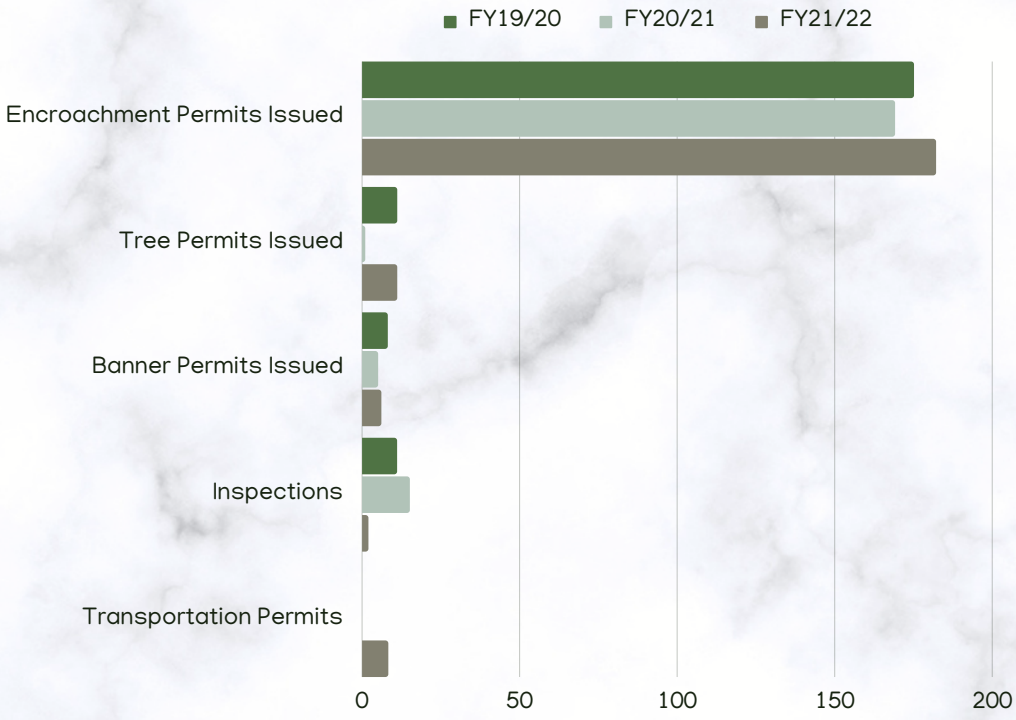
- C19-02 Rehabilitate Crane Park Tennis courts completed
- C20-03 Skatepark Improvements completed
- C20-08 Public Works Corporation Yard Fuel Tank completed
- C-82 Downtown Restrooms completed
- R19-05 Grayson Avenue and South Crane Avenue rehabilitation design in progress
- R20-02 Mills Lane Storm Drain design in progress
- S-52 WWTP Phase 1 Upgrades plans and specs approved
- W-26 Upper York Creek Dam Removal & Ecosystem Restoration project completed

Public Works Accomplishments

- Completed the removal of the legacy Upper York Creek Dam Removal & Ecosystem Restoration Project (CIP W-26).
- Installation of new generators occurred at the City Library, Madrone Knoll Pump Station, Stonebridge Wells site, and the flood project. Automatic transfer switch and docking station installed at Rutherford Pump Station.
- Installation of new Exeloo public restroom at Oak Avenue parking lot near Money Way (CIP C-82).
- Emergency Meadowood Tank Replacement Project, replace three existing water tanks and upgrade water delivery system.
- Development of a Risk and Resilience Assessment (RRA) and an Emergency Response Plan for the City's water distribution system.
- Began Phase I of the City's Active Transportation/Safe Routes to School Plan. Phase II of the project will occur during FY2021/22.
- Crane Park Skatepark improvements included the installation of new LED lights and landscape improvements.
- Provided fire response and recovery from the LNU and Glass Fires.
- Final draft of Integrated Utility Master Plan.

Public Works (5000)

Budget 2022–23

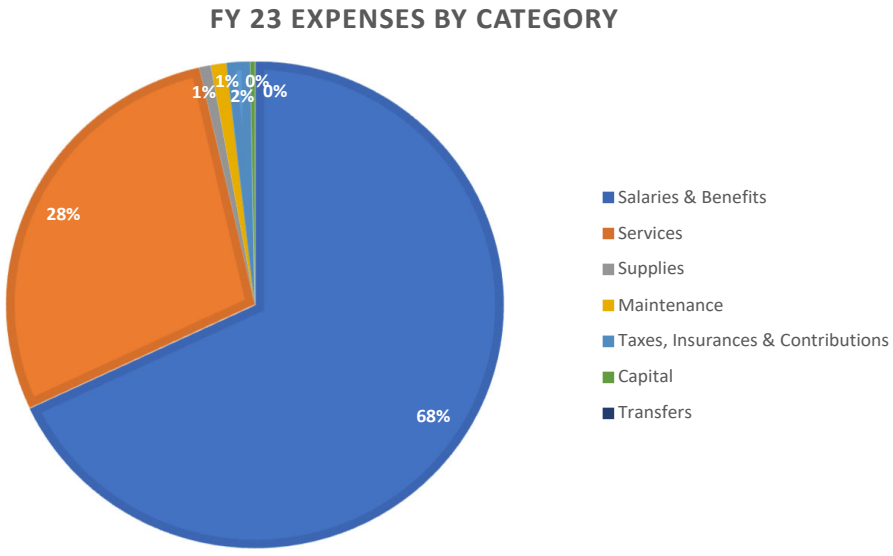


Public Works Administration

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	486,002	383,973	786,945	929,281
561	Water Enterprise	974,428	1,032,332	1,094,939	857,395
571	Sewer Enterprise	933,788	870,747	918,566	678,779
713	Civic Impact	1,862	1,834	2,305	-
741	Street Capital Improvement	-	5,261	-	-
Grand Total		**2,396,079**	**2,294,146**	**2,802,754**	**2,465,455**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
20	Salaries & Benefits	877,444	849,427	1,232,849	1,676,519
21	Services	207,227	345,989	1,022,771	700,321
22	Supplies	9,874	4,056	18,755	18,755
23	Maintenance	19,558	19,511	23,939	24,660
24	Taxes, Insurances & Contributions	44,757	9,284	38,000	38,000
26	Capital	13,186	5,879	7,200	7,200
29	Transfers	1,224,033	1,060,000	459,240	-
Grand Total		**2,396,079**	**2,294,146**	**2,802,754**	**2,465,455**



Public Works Admin Budget - 5000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
50	**Public Works**				
101-50-00-20-10	Salary-Regular	202,768	183,569	324,428	438,317
101-50-00-20-30	Overtime	-	-	750	750
101-50-00-20-40	FICA/Medicare	14,629	13,051	22,333	31,251
101-50-00-20-45	Employer PERS	13,224	12,532	22,941	31,042
101-50-00-20-47	PERS Unfunded Liability	26,140	29,466	45,484	46,397
101-50-00-20-55	Health Insurance	27,478	21,912	47,359	74,225
101-50-00-20-61	Workers Comp	10,295	10,011	12,181	12,253
101-50-00-20-65	SDI	1,823	1,813	3,207	4,097
101-50-00-20-71	Unemployment	-	1,160	-	-
101-50-00-20-75	Deferred Comp	2,709	2,091	4,466	7,217
101-50-00-20-85	Auto Allowance	680	1,200	3,120	4,560
101-50-00-20-96	Education Reimbursement	500	-	-	-
20	**Salaries & Benefits**	**300,246**	**276,805**	**486,269**	**650,109**
101-50-00-21-05	Advertising	-	201	500	500
101-50-00-21-10	Communications	3,476	3,956	2,800	2,800
101-50-00-21-15	Postage	549	468	600	600
101-50-00-21-27	Equipment Lease Exp	2,410	2,261	1,800	1,800
101-50-00-21-30	Professional Contracts	52,413	69,660	251,739	225,000
101-50-00-21-40	Professional Fees	661	538	-	-
101-50-00-21-45	Other Contract Services	6,206	5,829	6,722	7,800
101-50-00-21-53	Memberships & Publications	2,077	2,003	1,680	3,116
101-50-00-21-55	Training & Conference	1,075	-	3,225	5,225
21	**Services**	**68,867**	**84,917**	**269,066**	**246,841**
101-50-00-22-07	Copies	1,812	907	1,700	1,700
101-50-00-22-12	Computer Equipment	635	-	-	-
101-50-00-22-13	Office Supplies	781	287	1,000	1,000
101-50-00-22-15	Special Department Supplies	955	489	3,935	3,935
22	**Supplies**	**4,182**	**1,683**	**6,635**	**6,635**
101-50-00-23-35	Software Maintenance	741	682	682	682
101-50-00-23-50	Vehicle Alloc Expense	17,540	17,755	21,893	22,614
23	**Maintenance**	**18,281**	**18,437**	**22,575**	**23,296**
101-50-00-24-25	Taxes & Other Charges	170	171	-	-
24	**Taxes, Insurances & Contributi**	**170**	**171**	**-**	**-**
101-50-00-26-30	Capital Equipment	1,960	1,960	2,400	2,400
101-50-00-26-40	Furniture & Fixtures	7,295	-	-	-
26	**Capital**	**9,255**	**1,960**	**2,400**	**2,400**
101-50-00-29-99	Transfer to other Funds	85,000	-	-	-
29	**Transfers**	**85,000**	**-**	**-**	**-**
00	**Administration**	**486,002**	**383,973**	**786,945**	**929,281**
561	**Water Enterprise**				
50	**Public Works**				

Public Works Admin Budget - 5000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
561-50-00-20-10	Salary-Regular	202,327	197,831	261,877	355,316
561-50-00-20-30	Overtime	-	-	450	450
561-50-00-20-40	FICA/Medicare	14,875	14,221	18,732	25,728
561-50-00-20-45	Employer PERS	13,647	14,217	18,811	25,770
561-50-00-20-47	PERS Unfunded Liability	32,889	32,428	37,296	38,517
561-50-00-20-55	Health Insurance	32,677	26,796	38,715	65,686
561-50-00-20-61	Workers Comp	13,237	8,395	9,039	10,015
561-50-00-20-65	SDI	1,878	1,985	2,751	3,496
561-50-00-20-71	Unemployment	-	696	-	-
561-50-00-20-75	Deferred Comp	2,883	2,584	3,874	5,936
561-50-00-20-85	Auto Allowance	1,160	1,680	2,880	4,560
20	**Salaries & Benefits**	**315,572**	**300,833**	**394,424**	**535,474**
561-50-00-21-05	Advertising	-	940	1,500	1,500
561-50-00-21-10	Communications	3,380	4,249	5,425	5,425
561-50-00-21-15	Postage	549	468	600	600
561-50-00-21-27	Equipment Lease Exp	2,410	2,261	1,700	1,700
561-50-00-21-30	Professional Contracts	25,561	122,325	284,154	190,000
561-50-00-21-40	Professional Fees	649	649	-	-
561-50-00-21-43	Penalties and Fines	6,440	-	30,000	30,000
561-50-00-21-45	Other Contract Services	32,052	20,201	205,201	6,600
561-50-00-21-50	Water Use Efficiency Program	823	25,276	69,678	30,000
561-50-00-21-53	Memberships & Publications	1,298	2,312	1,140	2,979
561-50-00-21-55	Training & Conference	760	-	4,050	6,050
21	**Services**	**73,923**	**178,683**	**603,448**	**274,854**
561-50-00-22-07	Copies	1,797	815	1,700	1,700
561-50-00-22-12	Computer Equipment	635	-	-	-
561-50-00-22-13	Office Supplies	235	-	350	350
561-50-00-22-15	Special Department Supplies	194	393	3,935	3,935
22	**Supplies**	**2,860**	**1,208**	**5,985**	**5,985**
561-50-00-23-35	Software Maintenance	741	537	682	682
23	**Maintenance**	**741**	**537**	**682**	**682**
561-50-00-24-25	Taxes & Other Charges	44,587	9,112	38,000	38,000
24	**Taxes, Insurances & Contributions**	**44,587**	**9,112**	**38,000**	**38,000**
561-50-00-26-30	Capital Equipment	1,960	1,960	2,400	2,400
561-50-00-26-40	Furniture & Fixtures	6	-	-	-
26	**Capital**	**1,966**	**1,960**	**2,400**	**2,400**
561-50-00-29-99	Transfer to Other Funds	534,779	540,000	50,000	-
29	**Transfers**	**534,779**	**540,000**	**50,000**	**-**
00	**Administration**	**974,428**	**1,032,332**	**1,094,939**	**857,395**
571	**Sewer Enterprise**				
50	**Public Works**				
571-50-00-20-10	Salary-Regular	170,948	175,166	234,543	326,615

Public Works Admin Budget - 5000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
571-50-00-20-30	Overtime	-	-	300	300
571-50-00-20-40	FICA/Medicare	12,446	12,462	16,588	23,480
571-50-00-20-45	Employer PERS	11,828	12,733	17,009	23,913
571-50-00-20-47	PERS Unfunded Liability	25,972	29,217	33,725	35,741
571-50-00-20-55	Health Insurance	26,164	24,318	33,987	59,343
571-50-00-20-61	Workers Comp	9,315	7,212	7,875	8,915
571-50-00-20-65	SDI	1,560	1,728	2,423	3,180
571-50-00-20-71	Unemployment	-	464	-	-
571-50-00-20-75	Deferred Comp	2,453	2,028	3,306	5,369
571-50-00-20-85	Auto Allowance	940	1,200	2,400	4,080
20	**Salaries & Benefits**	**261,626**	**266,529**	**352,156**	**490,936**
571-50-00-21-10	Communications	3,380	3,726	3,000	3,000
571-50-00-21-15	Postage	549	468	600	600
571-50-00-21-27	Equipment Lease Exp	2,410	2,261	1,700	1,700
571-50-00-21-30	Professional Contracts	49,431	67,966	134,108	160,000
571-50-00-21-40	Professional Fees	574	574	-	-
571-50-00-21-45	Other Contract Services	4,200	3,853	4,105	5,400
571-50-00-21-53	Memberships & Publications	1,298	1,707	1,390	2,876
571-50-00-21-55	Training & Conference	733	-	3,050	5,050
21	**Services**	**62,575**	**80,555**	**147,953**	**178,626**
571-50-00-22-07	Copies	1,797	815	1,700	1,700
571-50-00-22-12	Computer Equipment	635	-	-	-
571-50-00-22-13	Office Supplies	206	-	500	500
571-50-00-22-15	Special Department Supplies	194	351	3,935	3,935
22	**Supplies**	**2,831**	**1,166**	**6,135**	**6,135**
571-50-00-23-35	Software Maintenance	537	537	682	682
23	**Maintenance**	**537**	**537**	**682**	**682**
571-50-00-26-30	Capital Equipment	1,960	1,960	2,400	2,400
571-50-00-26-40	Furniture & Fixtures	6	-	-	-
26	**Capital**	**1,966**	**1,960**	**2,400**	**2,400**
571-50-00-29-99	Transfer to Other Funds	604,254	520,000	409,240	-
29	**Transfers**	**604,254**	**520,000**	**409,240**	**-**
00	**Administration**	**933,788**	**870,747**	**918,566**	**678,779**
713-50-00-21-45	Other Contract Services	1,862	1,834	2,305	-
21	**Services**	**1,862**	**1,834**	**2,305**	**-**
00	**Administration**	**1,862**	**1,834**	**2,305**	**-**
741	**Street Capital Improvement**				
50	**Public Works**				
741-50-00-20-10	Salary-Regular	-	5,261	-	-
20	**Salaries & Benefits**	**-**	**5,261**	**-**	**-**

Public Works Admin Budget - 5000

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund				
00	Administration	-	5,261	-	-
Grand Total		2,396,079	2,294,146	2,802,754	2,465,455

PUBLIC WORKS ADMIN - 5000
EXPENSE SUMMARY

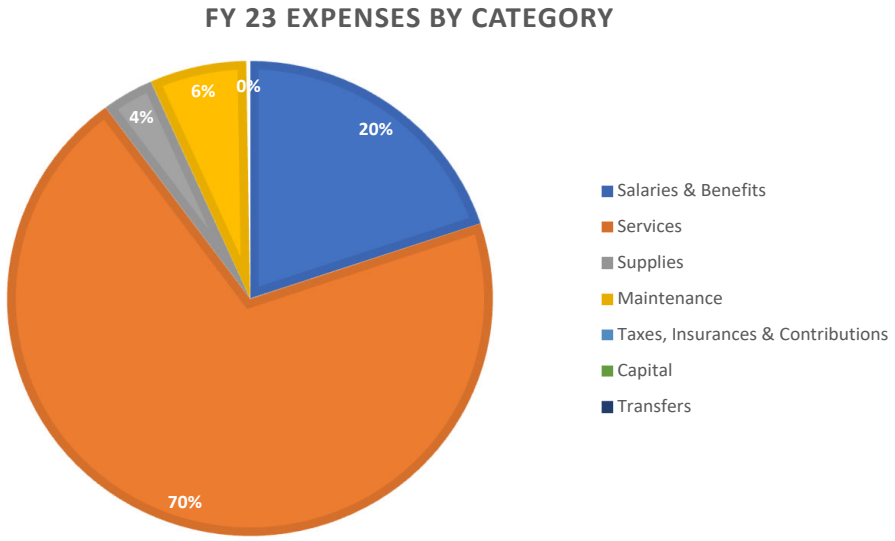
Description	Object Code	Funding Source				Total Budgeted
Equipment Lease	*2127*	*101*	*561*	571		
Copiers		1,800	1,700	1,700		$ 5,200
TOTAL - Equipment Lease	***2127***	***$ 1,800***	***$ 1,700***	***$ 1,700***		$ 5,200
Professional Contracts	*2130*	*101*	*561*	*571*		
Plan Check/Design Review/Map Check		100,000	25,000	25,000	-	150,000
Traffic Engineering Support		25,000	-	-	-	25,000
Wastewater Permit Reporting		-	-	75,000	-	75,000
Computerized Asset Management (Annual Fee)		20,000	20,000	20,000	-	60,000
On-Call Engineering Support Services		80,000	40,000	40,000		160,000
Upper York Creek Dam Monitoring & Maintenance		-	105,000	-	-	105,000
TOTAL - Professional Contracts	***2130***	***$ 225,000***	***$ 190,000***	***$ 160,000***	***$ -***	***$ 575,000***
Other Contract Services	*2145*	*101*	*561*	*571*	*713*	
Corporation Yard Trailer Rental		*6,200*	*5,000*	*3,800*	*2,000*	17,000
Underground Service Alerts		*1,600*	*1,600*	*1,600*		4,800
TOTAL - Other Contract Services	***2145***	***$ 7,800***	***$ 6,600***	***$ 5,400***	***$ 2,000***	***$ 21,800***
Water Use Efficiency Program	*2150*	*101*	*561*	*571*		
Implement water saving programs		-	*30,000*	-	-	30,000
TOTAL - Water Use Efficiency Program	***2150***	***$ -***	***$ 30,000***	***$ -***	***$ -***	***$ 30,000***
Memberships & Publications	*2153*	*101*	*561*	*571*		
MMANC (5)		125	125	125	-	375
APWA Membership (4)		275	275	275	-	825
ICMA (2)		186	116	96		398
ASCE		115	115	115		345
WEF				140		140
AWWA Membership (agency)			473			473
BACWA Membership (agency)		-	1,200	1,200	-	2,400
License Renewals		200	400	150	-	750
County of Napa Official Records Index and Document Images (split with CM, Planning, and Public Works)		1,940	-	-	-	1,940
Notary		275	275	275		825
Miscellaneous		-	-	500	-	500
TOTAL - Memberships & Publications	***2153***	***$ 3,116***	***$ 2,979***	***$ 2,876***	***$ -***	***$ 8,971***
Training and Conferences	*2155*	*101*	*561*	*571*		
Miscellaneous Training		5,225	6,050	5,050	-	16,325
TOTAL - Training and Conferences	***2155***	***$ 5,225***	***$ 6,050***	***$ 5,050***	***$ -***	***$ 16,325***
Taxes & Other Charges	*2425*	*101*	*561*	*571*		
Bell Canyon, St. Helena Lower Dam Fees		-	*38,000*	-	-	38,000
TOTAL - Taxes and Other Charges	***2425***	***$ -***	***$ 38,000***	***$ -***	***$ -***	***$ 38,000***
Capital Equipment	*2630*	*101*	*561*	*571*		
Vehicle Lease - Public Works Vehicle #1 Lease began FY 19		*2,400*	*2,400*	*2,400*	-	7,200
TOTAL - Capital Equipment	***2630***	***$ 2,400***	***$ 2,400***	***$ 2,400***	***$ -***	***$ 7,200***

Government Buildings

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	921,807	410,835	539,194	528,118
561	Water Enterprise	102	-	9,000	49,000
571	Sewer Enterprise	-	-	9,000	14,000
Grand Total		**921,910**	**410,835**	**557,194**	**591,118**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
20	Salaries & Benefits	38,606	104,456	116,046	117,468
21	Services	355,369	261,970	384,816	413,750
22	Supplies	38,503	20,255	22,331	20,400
23	Maintenance	5,645	23,783	33,000	38,000
24	Taxes, Insurances & Contributions	730	372	1,000	1,500
26	Capital	56	-	-	-
29	Transfers	483,000	-	-	-
Grand Total		**921,910**	**410,835**	**557,194**	**591,118**



Government Buildings Budget - 5006

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
50	**Public Works**				
101-50-06-20-10	Salary-Regular	23,038	63,916	72,113	75,128
101-50-06-20-25	Standby	-	330	-	-
101-50-06-20-30	Overtime	-	1,251	-	-
101-50-06-20-40	FICA/Medicare	1,799	5,065	5,585	5,816
101-50-06-20-45	Employer PERS	2,124	4,816	5,676	5,856
101-50-06-20-47	PERS Unfunded Liability	3,624	11,955	11,253	8,753
101-50-06-20-55	Health Insurance	5,824	11,841	15,918	16,600
101-50-06-20-61	Workers Comp	980	2,759	2,715	2,568
101-50-06-20-65	SDI	235	727	865	826
101-50-06-20-71	Unemployment	-	487	-	-
101-50-06-20-75	Deferred Comp	501	828	961	961
101-50-06-20-85	Auto Allowance	480	480	960	960
20	**Salaries & Benefits**	**38,606**	**104,456**	**116,046**	**117,468**
101-50-06-21-10	Communications	28,847	28,248	25,550	25,550
101-50-06-21-22	Utilities	126,374	132,421	105,570	105,570
101-50-06-21-25	Equipment Rental	-	-	-	8,000
101-50-06-21-45	Other Contract Services	200,045	101,300	243,696	243,630
101-50-06-21-55	Training & Conference	-	-	-	1,000
21	**Services**	**355,267**	**261,970**	**374,816**	**383,750**
101-50-06-22-12	Computer Equipment	1,075	-	-	-
101-50-06-22-15	Special Department Supplies	35,458	20,115	21,931	20,000
101-50-06-22-20	Small Tools	721	140	400	400
101-50-06-22-25	Fuel/Oil	1,250	-	-	-
22	**Supplies**	**38,503**	**20,255**	**22,331**	**20,400**
101-50-06-23-12	Maintenance Supplies	88	-	-	-
101-50-06-23-30	Maint Buildings/Grounds	5,558	23,783	25,000	5,000
23	**Maintenance**	**5,645**	**23,783**	**25,000**	**5,000**
101-50-06-24-25	Taxes & Other Charges	730	372	1,000	1,500
24	**Taxes, Insurances & Contributions**	**730**	**372**	**1,000**	**1,500**
101-50-06-26-40	Furniture & Fixtures	56	-	-	-
26	**Capital**	**56**	**-**	**-**	**-**
101-50-06-29-99	Transfer to Other Funds Bldgs	483,000	-	-	-
29	**Transfers**	**483,000**	**-**	**-**	**-**
06	**Public Buildings**	**921,807**	**410,835**	**539,194**	**528,118**
561	**Water Enterprise**				
50	**Public Works**				
561-50-06-21-45	Other Contract Services	102	-	5,000	20,000
21	**Services**	**102**	**-**	**5,000**	**20,000**
561-50-06-23-30	Maint Buildings/Grounds	-	-	4,000	29,000

Government Buildings Budget - 5006

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
23	**Maintenance**	**-**	**-**	**4,000**	**29,000**
06	**Public Buildings**	**102**	**-**	**9,000**	**49,000**
571	**Sewer Enterprise**				
50	**Public Works**				
571-50-06-21-45	Other Contract Services	-	-	5,000	10,000
21	**Services**	**-**	**-**	**5,000**	**10,000**
571-50-06-23-30	Maint Buildings/Grounds	-	-	4,000	4,000
23	**Maintenance**	**-**	**-**	**4,000**	**4,000**
06	**Public Buildings**	**-**	**-**	**9,000**	**14,000**
Grand Total		**921,910**	**410,835**	**557,194**	**591,118**

GOVERNMENT BUILDINGS - 5006
EXPENSE SUMMARY

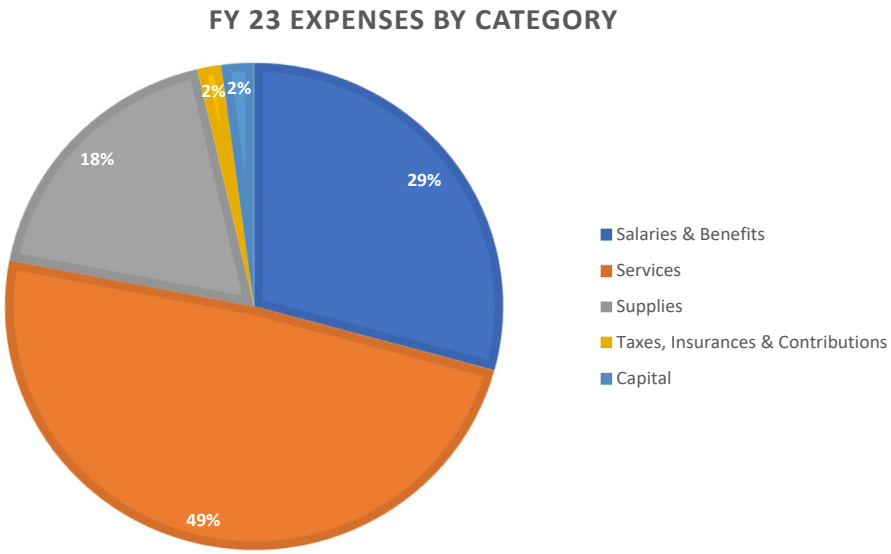
Description	Object Code	Funding Source	Funding Source	Funding Source	Total Budgeted
Other Contract Services	*2145*	*101*	*561*	*571*	
Custodial		75,000			75,000
Carpet Cleaning		5,300			5,300
Pest Control		25,600			25,600
Elevator Service - Carnegie		3,000			3,000
Elevator Service - Library		2,000			2,000
Napa Fire Equipment Service Replace Fire Extinguishers		6,500			6,500
Alarm Services		6,000			6,000
Library HVAC Pump Maintenance		5,000			5,000
HVAC Maintenance		30,000	5,000	5,000	40,000
Generator Maintenance/Emergency Repair		5,000	15,000	5,000	25,000
Miscellaneous Maintenance		20,230			20,230
Miscellaneous Repairs to Buildings		60,000			60,000
TOTAL - Other Contract Services	***2145***	***$ 243,630***	***$ 20,000***	***$ 10,000***	***$ 273,630***
Special Department Supplies	*2215*	*101*	*561*	*571*	
Paper Goods		3,000			3,000
Paint & Hardware		2,500			2,500
First Aid Supplies		1,500			1,500
Lighting Retrofit to LED Fixtures		6,000			6,000
Other Miscellaneous Supplies		7,000			7,000
TOTAL - Special Department Supplies	***2215***	***$ 20,000***	***$ -***	***$ -***	**$ 20,000**
Maintenance Buildings and Grounds	*2330*	*101*	*561*	*571*	
Miscellaneous Repairs to Buildings		5,000	4,000	4,000	13,000
Demolition of WTP Trailer			25,000	-	25,000
TOTAL - Maintenance Buildings and Grounds	***2330***	***$ 5,000***	***$ 29,000***	***$ 4,000***	***$ 38,000***

Storm Drains

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	200,799	167,635	267,527	265,043
700	Flood Control Capital	-	28,012	47,040	30,000
Grand Total		**200,799**	**195,647**	**314,567**	**295,043**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
20	Salaries & Benefits	124,099	76,773	86,817	86,228
21	Services	65,271	111,895	169,289	144,000
22	Supplies	11,429	3,266	47,646	54,000
24	Taxes, Insurances & Contributions	-	-	4,600	4,600
26	Capital	-	3,712	6,215	6,215
Grand Total		**200,799**	**195,647**	**314,567**	**295,043**



Storm Drains Budget - 5013

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
50	**Public Works**				
101-50-13-20-10	Salary-Regular	64,877	38,015	43,282	43,760
101-50-13-20-25	Standby	1,465	675	3,857	3,857
101-50-13-20-30	Overtime	18,304	11,969	8,500	8,500
101-50-13-20-40	FICA/Medicare	6,500	3,878	4,284	4,321
101-50-13-20-45	Employer PERS	4,469	2,133	2,998	2,968
101-50-13-20-47	PERS Unfunded Liability	7,503	7,651	5,944	4,436
101-50-13-20-55	Health Insurance	15,507	8,495	14,564	15,175
101-50-13-20-61	Workers Comp	4,167	2,365	2,328	2,201
101-50-13-20-65	SDI	837	543	668	617
101-50-13-20-71	Unemployment	-	975	-	-
101-50-13-20-75	Deferred Comp	468	75	393	393
20	**Salaries & Benefits**	**124,099**	**76,773**	**86,817**	**86,228**
101-50-13-21-25	Equipment Rental	22,349	27,994	17,000	17,000
101-50-13-21-38	Conservation Maintenance	5,144	642	-	-
101-50-13-21-45	Other Contract Services	32,085	49,253	93,249	80,000
101-50-13-21-48	Government Fees	5,692	5,994	12,000	17,000
21	**Services**	**65,271**	**83,883**	**122,249**	**114,000**
101-50-13-22-15	Special Department Supplies	11,429	3,266	47,646	54,000
22	**Supplies**	**11,429**	**3,266**	**47,646**	**54,000**
101-50-13-24-25	Taxes & Other Charges	-	-	4,600	4,600
24	**Taxes, Insurances & Contributions**	**-**	**-**	**4,600**	**4,600**
101-50-13-26-30	Capital Equipment	-	3,712	6,215	6,215
26	**Capital**	**-**	**3,712**	**6,215**	**6,215**
13	**Stormwater**	**200,799**	**167,635**	**267,527**	**265,043**
700	**Flood Control Capital**				
50	**Public Works**				
700-50-13-21-38	Conservation Maintenance	-	28,012	47,040	30,000
21	**Services**	**-**	**28,012**	**47,040**	**30,000**
13	**Stormwater**	**-**	**28,012**	**47,040**	**30,000**
Grand Total		**200,799**	**195,647**	**314,567**	**295,043**

STORM DRAINS - 5013
EXPENSE SUMMARY

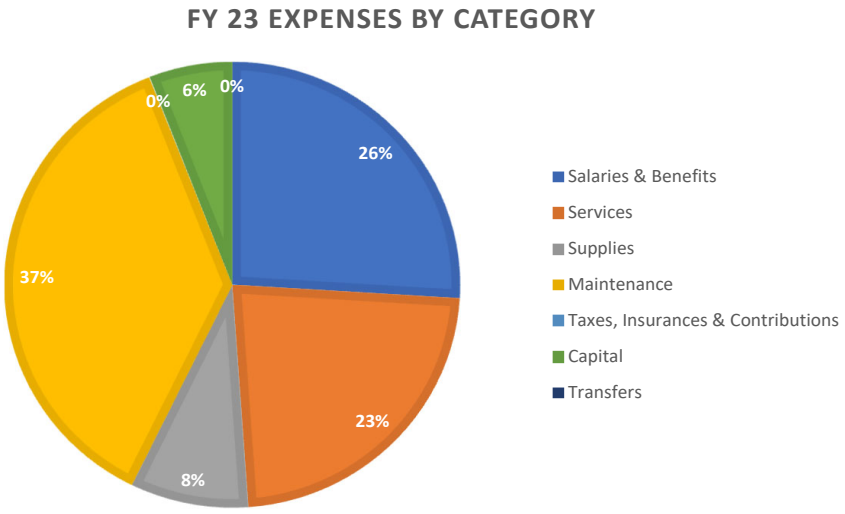
Description	Object Code	Funding	Total Budgeted
Equipment Rental	*2125*	*101*	
Clearing Valleyview Bridget Culverts		2,000	2,000
Sediment Removal		10,000	10,000
Duck Pond - Mitchell/North		5,000	5,000
TOTAL - Equipment Rental	***2125***	***$ 17,000***	***$ 17,000***
Other Contract Services	*2145*	*101*	
Mitchell Avenue - Duck Pond		10,000	10,000
Stormwater JPA		40,000	40,000
Stormwater Inspection		15,000	15,000
Stormwater Phase II Trash Assessment		15,000	15,000
TOTAL - Other Contract Services	***2145***	***$ 80,000***	***$ 80,000***
Government Fees	*2148*	*101*	
SWRCB MS4 Permit		7,000	7,000
CDFW Permit/Annual Maintenance Fee		10,000	10,000
TOTAL - Government Fees	***2148***	***$ 17,000***	***$ 17,000***
Special Department Supplies	*2215*	*101*	
Flow Monitor/Data Collection		11,000	11,000
Misc. Stormwater Supplies (sweeper, brooms, trench debris, grubbing, hauling, D.I. inlets, rims and covers)		5,000	5,000
Repair/Maintenance Supplies		38,000	38,000
TOTAL - Special Department Supplies	***2215***	***$ 54,000***	***$ 54,000***

Streets

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	1,025,116	352,688	482,064	523,406
561	Water Enterprise	-	-	33,400	33,400
571	Sewer Enterprise	-	-	33,400	33,400
Grand Total		**1,025,116**	**352,688**	**548,864**	**590,206**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
20	Salaries & Benefits	208,711	129,856	153,070	153,245
21	Services	152,233	91,478	132,891	135,200
22	Supplies	61,251	28,888	38,550	49,550
23	Maintenance	92,684	83,907	189,182	217,041
24	Taxes, Insurances & Contributions	76	42	300	300
26	Capital	45,973	18,518	34,870	34,870
29	Transfers	464,189	-	-	-
Grand Total		**1,025,116**	**352,688**	**548,864**	**590,206**



Streets Budget - 5015

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	**General Fund**				
50	**Public Works**				
101-50-15-20-10	Salary-Regular	123,108	73,492	80,496	82,486
101-50-15-20-25	Standby	2,415	1,435	3,857	3,857
101-50-15-20-30	Overtime	11,223	5,542	8,500	8,500
101-50-15-20-40	FICA/Medicare	10,487	6,163	7,154	7,306
101-50-15-20-45	Employer PERS	7,932	4,343	5,675	5,705
101-50-15-20-47	PERS Unfunded Liability	12,578	12,541	11,253	8,526
101-50-15-20-55	Health Insurance	30,318	17,569	27,705	28,864
101-50-15-20-61	Workers Comp	8,579	6,700	6,595	6,237
101-50-15-20-65	SDI	1,361	868	1,114	1,043
101-50-15-20-71	Unemployment	-	975	-	-
101-50-15-20-75	Deferred Comp	708	227	721	721
20	**Salaries & Benefits**	**208,711**	**129,856**	**153,070**	**153,245**
101-50-15-21-10	Communications	1,993	975	2,500	2,500
101-50-15-21-22	Utilities	73,854	75,744	81,000	81,000
101-50-15-21-25	Equipment Rental	-	-	2,700	2,700
101-50-15-21-45	Other Contract Services	76,266	14,759	44,191	43,000
101-50-15-21-53	Memberships & Publications	-	-	1,000	1,000
101-50-15-21-55	Training & Conference	-	-	1,500	5,000
101-50-15-21-60	Other Travel	120	-	-	-
21	**Services**	**152,233**	**91,478**	**132,891**	**135,200**
101-50-15-22-12	Computer Equipment	496	-	-	-
101-50-15-22-13	Office Supplies	671	-	250	250
101-50-15-22-15	Special Department Supplies	58,142	28,806	35,300	46,300
101-50-15-22-20	Small Tools	1,942	82	3,000	3,000
101-50-15-22-26	Vehicle Maint	-	-	-	-
22	**Supplies**	**61,251**	**28,888**	**38,550**	**49,550**
101-50-15-23-12	Maintenance Supplies	22,045	6,732	33,000	61,000
101-50-15-23-15	Maint Machine/Equipment	16,560	23,909	23,703	21,400
101-50-15-23-30	Maint Buildings/Grounds	1,459	-	-	-
101-50-15-23-50	Vehicle Alloc Expense	52,621	53,266	65,679	67,841
23	**Maintenance**	**92,684**	**83,907**	**122,382**	**150,241**
101-50-15-24-25	Taxes & Other Charges	76	42	300	300
24	**Taxes, Insurances & Contributions**	**76**	**42**	**300**	**300**
101-50-15-26-30	Capital Equipment	45,973	18,518	34,870	34,870
26	**Capital**	**45,973**	**18,518**	**34,870**	**34,870**
101-50-15-29-99	Transfer to other Funds	464,189	-	-	-
29	**Transfers**	**464,189**	**-**	**-**	**-**
15	**Street Maintenance**	**1,025,116**	**352,688**	**482,064**	**523,406**
561	**Water Enterprise**				
50	**Public Works**				
561-50-15-23-12	Maintenance Supplies	-	-	25,000	25,000

Streets Budget - 5015

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
561-50-15-23-15	Maint Machine Equip	-	-	8,400	8,400
23	**Maintenance**	**-**	**-**	**33,400**	**33,400**
15	**Street Maintenance**	**-**	**-**	**33,400**	**33,400**
571	**Sewer Enterprise**				
50	**Public Works**				
571-50-15-23-12	Maintenance Supplies	-	-	25,000	25,000
571-50-15-23-15	Maint Machine Equip	-	-	8,400	8,400
23	**Maintenance**	**-**	**-**	**33,400**	**33,400**
15	**Street Maintenance**	**-**	**-**	**33,400**	**33,400**
Grand Total		**1,025,116**	**352,688**	**548,864**	**590,206**

STREETS - 5015
EXPENSE SUMMARY

Description	Object Code	Funding Source			Total Budgeted
Equipment Rental	*2125*	*101*	*561*	*571*	
Miscellaneous Rentals		2,700			2,700
TOTAL - Equipment Rental	***2125***	***$ 2,700***	***$ -***	***$ -***	***$ 2,700***
Other Contract Services	*2145*	*101*	*561*	*571*	
Incidents and Accidents		43,000			43,000
TOTAL - Other Contract Services	***2145***	***$ 43,000***	***$ -***	***$ -***	***$ 43,000***
Memberships & Publications	*2153*	*101*	*561*	*571*	
Books & Membership Fees to PAPA		255			255
Misc. Memberships		745			745
TOTAL - Memberships & Publications	***2153***	***$ 1,000***	***$ -***	***$ -***	***$ 1,000***
Training & Conference	*2155*	*101*	*561*	*571*	
CEU		1,500			1,500
Misc. Trainings		3,500			3,500
TOTAL - Training & Conference	***2155***	***$ 5,000***	***$ -***	***$ -***	***$ 5,000***
Special Department Supplies	*2215*	*101*	*561*	*571*	
Signs		8,000			8,000
Uniforms/Boots		21,000			21,000
Cones		2,500			2,500
Miscellaneous Supplies		2,000			2,000
Guideposts		600			600
Retrofit Radar Signs		10,000			10,000
Barricades		1,200			1,200
Raingear		1,000			1,000
TOTAL - Special Department Supplies	***2215***	***$ 46,300***	***$ -***	***$ -***	***$ 46,300***
Maintenance Supplies	*2312*	*101*	*561*	*571*	
Asphalt		16,000	25,000	25,000	66,000
Sand and Sand Bags		4,000			4,000
Paint/Thermo		30,000			30,000
Other Maintenance Supplies		3,000			3,000
Shale		4,000			4,000
Cold Mix		4,000			4,000
TOTAL - Maintenance Supplies	***2312***	***$ 61,000***	***$ 25,000***	***$ 25,000***	***$ 111,000***
Maintenance Machinery & Equipment	*2315*	*101*	*561*	*571*	
Gutter Brooms, Curtains, Saw Blades, etc.		6,000			6,000
Large Equip. Repair and Maintenance		15,400	8,400	8,400	32,200
TOTAL - Machine Maintenance & Equipment	***2315***	***$ 21,400***	***$ 8,400***	***$ 8,400***	***$ 38,200***

STREETS - 5015
EXPENSE SUMMARY

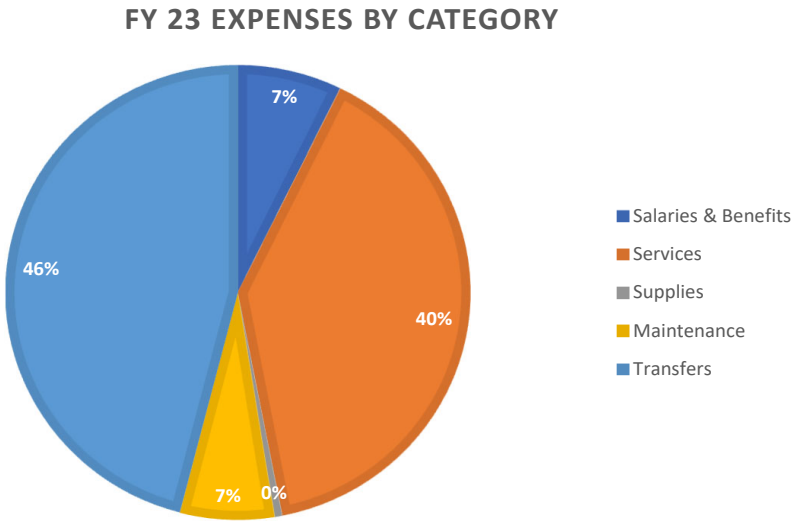
Description	Object Code	Funding Source			Total Budgeted
Capital Equipment	*2630*	*101*	*561*	*571*	
Lease - Vehicle 208, costs split with WW Collection - $150,000 for 5 years @ 5%		34,870			34,870
TOTAL - Capital Equipment	***2630***	***$ 34,870***			***$ 34,870***

Tree City

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	39	51,910	104,796	154,697
283	Tree City USA	97,813	111,660	3,330	131,666
Grand Total		**97,852**	**163,570**	**108,126**	**286,363**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
20	Salaries & Benefits	19,299	19,844	20,396	20,797
21	Services	65,753	19,835	65,256	113,600
22	Supplies	386	495	900	1,500
23	Maintenance	12,413	12,396	21,574	18,800
29	Transfers	-	111,000	-	131,666
Grand Total		**97,852**	**163,570**	**108,126**	**286,363**



Tree City Budget - 5026

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 DRAFT
101	**General Fund**				
50	**Public Works**				
101-50-26-20-10	Salary-Regular	-	10,825	11,772	12,419
101-50-26-20-40	FICA/Medicare	-	848	919	968
101-50-26-20-45	Employer PERS	-	1,086	1,163	1,226
101-50-26-20-47	PERS Unfunded Liability	-	2,354	2,306	1,832
101-50-26-20-55	Health Insurance	-	3,064	3,216	3,357
101-50-26-20-61	Workers Comp	-	394	388	367
101-50-26-20-65	SDI	-	123	141	137
101-50-26-20-75	Deferred Comp	-	260	251	251
101-50-26-20-85	Auto Allowance	-	230	240	240
20	**Salaries & Benefits**	**-**	**19,184**	**20,396**	**20,797**
101-50-26-21-35	Main Street Trees	-	-	-	-
101-50-26-21-36	Tree City USA	-	1,150	7,700	16,800
101-50-26-21-37	Heritage Trees	-	-	8,200	10,000
101-50-26-21-45	Other Contract Services	-	18,250	42,000	80,000
101-50-26-21-53	Memberships & Publications	-	-	1,000	1,000
101-50-26-21-55	Training & Conference	-	435	4,800	4,800
101-50-26-21-57	Certifications	-	-	1,000	1,000
21	**Services**	**-**	**19,835**	**64,700**	**113,600**
101-50-26-22-15	Special Department Supplies	39	295	400	1,000
101-50-26-22-20	Small Tools	-	200	500	500
22	**Supplies**	**39**	**495**	**900**	**1,500**
101-50-26-23-30	Maint Buildings/Grounds	-	12,396	18,800	18,800
23	**Maintenance**	**-**	**12,396**	**18,800**	**18,800**
26	**Tree City USA**	**39**	**51,910**	**104,796**	**154,697**
283	**Tree City USA**				
50	**Public Works**				
283-50-26-20-10	Salary-Regular	11,519	435	-	-
283-50-26-20-40	FICA/Medicare	900	33	-	-
283-50-26-20-45	Employer PERS	1,062	44	-	-
283-50-26-20-47	PERS Unfunded Liability	1,812	-	-	-
283-50-26-20-55	Health Insurance	2,908	134	-	-
283-50-26-20-61	Workers Comp	490	-	-	-
283-50-26-20-65	SDI	118	4	-	-
283-50-26-20-75	Deferred Comp	251	0	-	-
283-50-26-20-85	Auto Allowance	240	10	-	-
20	**Salaries & Benefits**	**19,299**	**660**	**-**	**-**
283-50-26-21-25	Equipment Rental	590	-	-	-
283-50-26-21-35	Main Street Trees	2,085	-	-	-
283-50-26-21-36	Tree City USA	1,348	-	-	-
283-50-26-21-45	Other Contract Services	61,375	-	556	-
283-50-26-21-53	Memberships & Publications	275	-	-	-

Tree City Budget - 5026

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 DRAFT
283-50-26-21-55	Training & Conference	80	-	-	-
21	**Services**	**65,753**	**-**	**556**	**-**
283-50-26-22-15	Special Department Supplies	278	-	-	-
283-50-26-22-20	Small Tools	69	-	-	-
22	**Supplies**	**347**	**-**	**-**	**-**
283-50-26-23-30	Maint Buildings/Grounds	12,413	-	2,774	-
23	**Maintenance**	**12,413**	**-**	**2,774**	**-**
283-50-26-29-99	Transfer to other Funds	-	111,000	-	131,666
29	**Transfers**	**-**	**111,000**	**-**	**131,666**
26	**Tree City USA**	**97,813**	**111,660**	**3,330**	**131,666**
Grand Total		**97,852**	**163,570**	**108,126**	**286,363**

TREES - 5026
EXPENSE SUMMARY

Description	Object Code	Funding Source	Total Budgeted
Tree City USA	*2136*	*101*	
Trees and Materials for Off Main		1,800	1,800
Emergency Tree Work		15,000	15,000
TOTAL - Tree City USA	***2136***	***$ 16,800***	***$ 16,800***
Heritage Trees	*2137*	*101*	
Emergency Tree Work on Heritage Trees		10,000	10,000
TOTAL - Heritage Trees	***2137***	***$ 10,000***	***$ 10,000***
Other Contract Services	*2145*	*101*	
Heritiage Trees		20,000	20,000
Crane Park (Phase II)		35,000	35,000
Tree Inventory (Phase I)		25,000	25,000
TOTAL - Other Contract Services	***2145***	***$ 80,000***	80,000
Memberships & Publications	*2153*	*101*	
ISA		700	700
WC ISA		300	300
TOTAL - Memberships & Publications	***2153***	***$ 1,000***	***$ 1,000***
Training & Conferences	*2155*	*101*	
Arborist CEUs		1,500	1,500
Arborist Prep Course		2,250	2,250
Arborist Certificate Test		1,050	1,050
TOTAL - Training & Conferences	***2155***	***$ 4,800***	***$ 4,800***
Certifications	*2157*	*101*	
Miscellaneous Certifications		1,000	1,000
TOTAL - Certifications	***2157***	***$ 1,000***	***$ 1,000***

TREES - 5026
EXPENSE SUMMARY

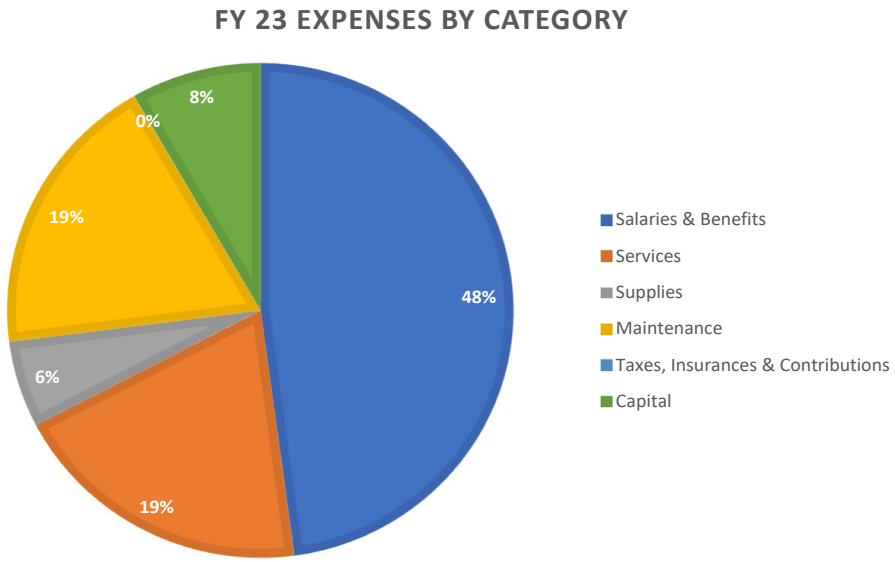
Description	Object Code	Funding Source	Total Budgeted
Special Department Supplies	*2215*	*101*	
Soils, Fertilizers, Pesticides		1,000	1,000
TOTAL - Special Department Supplies	***2215***	***$ 1,000***	***$ 1,000***
Maintenance Buildings/Grounds	*2330*	*101*	
Tunnel of Trees		18,000	18,000
Lyman Park		800	800
TOTAL - Maintenance Buildings/Grounds	***2330***	***$ 18,800***	***$ 18,800***

Parks

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
101	General Fund	654,089	699,147	888,920	915,814
592	Equipment Replacement Fund	-	-	-	83,000
Grand Total		**654,089**	**699,147**	**888,920**	**998,814**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
20	Salaries & Benefits	360,973	450,610	443,166	478,125
21	Services	165,848	156,703	194,300	194,300
22	Supplies	52,753	59,698	61,662	56,500
23	Maintenance	74,427	32,115	144,842	186,689
24	Taxes, Insurances & Contributions	88	21	200	200
26	Capital	-	-	44,750	83,000
Grand Total		**654,089**	**699,147**	**888,920**	**998,814**



Parks Budget - 5027

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 DRAFT
101	**General Fund**				
50	**Public Works**				
101-50-27-20-10	Salary-Regular	218,349	256,458	263,695	295,183
101-50-27-20-25	Standby	1,900	5,620	3,857	3,857
101-50-27-20-30	Overtime	8,439	18,857	3,158	3,158
101-50-27-20-40	FICA/Medicare	17,615	21,608	20,870	23,302
101-50-27-20-45	Employer PERS	18,117	22,019	23,179	24,812
101-50-27-20-47	PERS Unfunded Liability	29,827	42,175	45,957	37,086
101-50-27-20-55	Health Insurance	49,824	60,915	59,452	66,439
101-50-27-20-61	Workers Comp	12,746	17,736	17,457	18,343
101-50-27-20-65	SDI	2,303	3,108	3,249	3,324
101-50-27-20-75	Deferred Comp	1,853	2,114	2,293	2,621
20	**Salaries & Benefits**	**360,973**	**450,610**	**443,166**	**478,125**
101-50-27-21-10	Communications	2,031	2,798	3,500	3,500
101-50-27-21-22	Utilities	140,674	129,106	130,500	130,500
101-50-27-21-25	Equipment Rental	1,041	817	2,000	2,000
101-50-27-21-30	Professional Contracts	-	19,510	45,000	45,000
101-50-27-21-45	Other Contract Services	20,440	2,670	5,000	5,000
101-50-27-21-53	Memberships & Publications	200	983	1,000	1,000
101-50-27-21-55	Training & Conference	1,462	820	7,000	7,000
101-50-27-21-60	Other Travel	-	-	300	300
21	**Services**	**165,848**	**156,703**	**194,300**	**194,300**
101-50-27-22-12	Computer Equipment	272	-	-	-
101-50-27-22-13	Office Supplies	676	-	750	750
101-50-27-22-15	Special Department Supplies	50,630	59,639	59,712	54,550
101-50-27-22-20	Small Tools	1,175	58	1,200	1,200
22	**Supplies**	**52,753**	**59,698**	**61,662**	**56,500**
101-50-27-23-12	Maintenance Supplies	98	-	-	-
101-50-27-23-15	Maint Machine/Equipment	9,321	2,523	15,854	15,000
101-50-27-23-30	Maint Buildings/Grounds	35,774	-	92,500	134,000
101-50-27-23-50	Vehicle Alloc Expense	29,234	29,592	36,488	37,689
23	**Maintenance**	**74,427**	**32,115**	**144,842**	**186,689**
101-50-27-24-25	Taxes & Other Charges	88	21	200	200
24	**Taxes, Insurances & Contributions**	**88**	**21**	**200**	**200**
101-50-27-26-70	Capital Imp Equipment	-	-	44,750	-
26	**Capital**	**-**	**-**	**44,750**	**-**
27	**Parks Maintenance**	**654,089**	**699,147**	**888,920**	**915,814**

Parks Budget - 5027

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 DRAFT
592	**Equipment Replacement Fund**				
50	**Public Works**				
592-50-27-26-30	Capital Equipment	-	-	-	83,000
26	**Capital**	**-**	**-**	**-**	**83,000**
27	**Parks Maintenance**	**-**	**-**	**-**	**83,000**
Grand Total		**654,089**	**699,147**	**888,920**	**998,814**

PARKS - 5027
EXPENSE SUMMARY

Description	Object Code	Funding Source	Total Budgeted
Equipment Rentals	*2125*	*101*	
Misc. Rentals for Equipment (not owned by the City)		2,000	2,000
TOTAL - Equipment Rentals	***2125***	***$ 2,000***	***$ 2,000***
Other Contract Services	*2145*	*101*	
Unplanned Repairs to Park Facilities		5,000	5,000
TOTAL - Other Contract Services	***2145***	***$ 5,000***	***$ 5,000***
Memberships & Publications	*2153*	*101*	
PAPA Membership		560	560
DPR Certificates		240	240
NRPA		200	200
TOTAL - Memberships & Publications	***2153***	***$ 1,000***	***$ 1,000***
Training & Conferences	*2155*	*101*	
CPSI Course & Exam (hotel/travel)		3,955	3,955
PAPA CEUs		1,000	1,000
DPR Test Prep and Exam		1,365	1,365
Misc. Training and Seminars		680	680
TOTAL - Training & Conferences	***2155***	***$ 7,000***	***$ 7,000***
Special Department Supplies	*2215*	*101*	
Standard Supplies (toilet paper, towels, cleaners, etc.)		13,000	13,000
Misc. Supplies (fertilizer, irrigation parts, etc.)		12,100	12,100
Uniforms and Boots		22,650	22,650
Crane Park Dumpster		4,300	4,300
Battrery Powered Leaf Blowers (Pilot Program)		2,500	2,500
TOTAL - Special Department Supplies	***2215***	***$ 54,550***	***$ 54,550***
Maintenance Machine & Equipment	*2315*	*101*	
Repairs to Major Equipment		15,000	15,000
TOTAL - Maintenance Machine & Equip.	***2315***	***$ 15,000***	***$ 15,000***

PARKS - 5027
EXPENSE SUMMARY

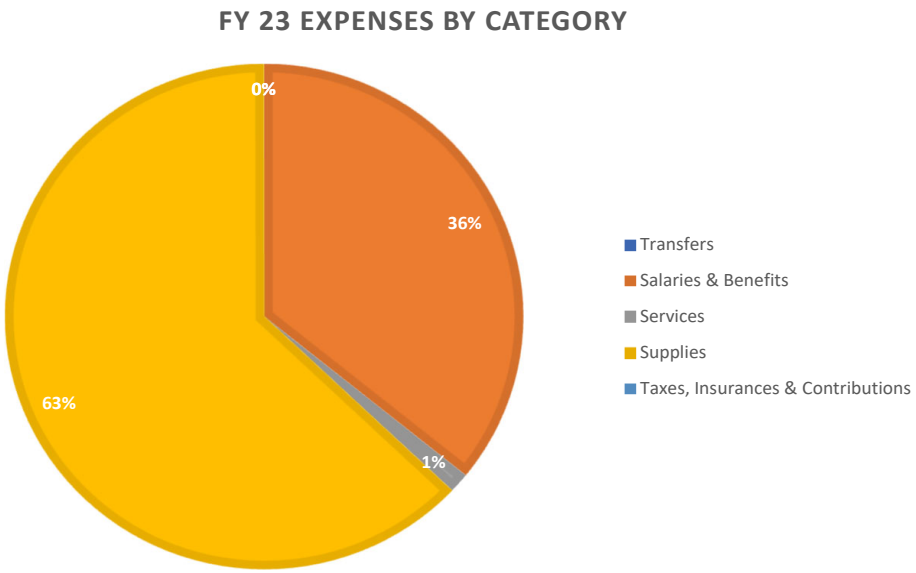
Description	Object Code	Funding Source	Total Budgeted
Buildings and Grounds Maintenance	*2330*	*101*	
Accidents/Incidents		2,500	2,500
Repair Arbor at Lewis Station		6,000	6,000
Mulch		25,000	25,000
Fibar for Playgrounds		10,000	10,000
Park Sign Replacement		3,500	3,500
Skate Park Maintenance		3,000	3,000
Wood Replacement for Tables/Benches		18,000	18,000
Fence Repairs and Replacement		20,000	20,000
Holiday Storage Connext Boxes		40,000	40,000
Misc. Irrigation Repairs		6,000	6,000
TOTAL - Buildings and Grounds Maintenance	***2330***	***$ 134,000***	***$ 134,000***

City Garage

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 DRAFT
582	Internal Service Garage Fund	403,924	406,212	280,297	316,590
Grand Total		**403,924**	**406,212**	**280,297**	**316,590**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 DRAFT
40	***Non Departmental***				
29	Transfers	139,030	131,034	-	-
50	***Public Works***				
20	Salaries & Benefits	110,381	93,504	114,097	113,390
21	Services	160	648	4,000	4,000
22	Supplies	154,353	181,008	162,100	199,100
24	Taxes, Insurances & Contributions	-	17	100	100
Grand Total		**403,924**	**406,212**	**280,297**	**316,590**



Garage Budget - 5037

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
582	**Internal Service Garage Fund**				
40	**Non Departmental**				
582-40-10-29-40	Depreciation Expense	139,030	131,034	-	-
29	**Transfers**	**139,030**	**131,034**	**-**	**-**
10	**City Garage**	**139,030**	**131,034**	**-**	**-**
50	**Public Works**				
582-50-37-20-10	Salary-Regular	64,877	55,581	64,922	65,641
582-50-37-20-25	Standby	1,465	1,005	3,857	3,857
582-50-37-20-30	Overtime	7,865	3,754	2,000	2,000
582-50-37-20-40	FICA/Medicare	5,701	4,621	5,456	5,511
582-50-37-20-45	Employer PERS	4,469	3,101	4,497	4,452
582-50-37-20-47	PERS Unfunded Liability	7,229	11,414	8,916	6,689
582-50-37-20-55	Health Insurance	13,408	10,642	21,846	22,763
582-50-37-20-61	Workers Comp	4,167	1,182	1,164	1,101
582-50-37-20-65	SDI	736	644	849	786
582-50-37-20-71	Unemployment	-	1,462	-	-
582-50-37-20-75	Deferred Comp	464	99	590	590
20	**Salaries & Benefits**	**110,381**	**93,504**	**114,097**	**113,390**
582-50-37-21-45	Other Contract Services	160	648	4,000	4,000
21	**Services**	**160**	**648**	**4,000**	**4,000**
582-50-37-22-13	Office Supplies	-	-	100	100
582-50-37-22-15	Special Department Supplies	1,044	744	2,500	2,500
582-50-37-22-20	Small Tools	2,453	595	1,500	1,500
582-50-37-22-25	Fuel/Oil	97,011	97,280	90,000	108,000
582-50-37-22-26	Outside Vehicle Maint	42,587	79,625	61,000	80,000
582-50-37-22-28	Vehicle Parts	11,258	2,765	7,000	7,000
22	**Supplies**	**154,353**	**181,008**	**162,100**	**199,100**
582-50-37-24-25	Taxes and Other Charges	-	17	100	100
24	**Taxes, Insurances & Contributions**	**-**	**17**	**100**	**100**
37	**City Garage**	**264,894**	**275,178**	**280,297**	**316,590**
Grand Total		**403,924**	**406,212**	**280,297**	**316,590**

CITY GARAGE - 5037
EXPENSE SUMMARY

Description	Object Code	Funding Source	Total Budgeted
Other Contract Services	*2145*	*582*	
Enterprise Fleet Management		4,000	4,000
TOTAL - Other Contract Services	***2145***	***$ 4,000***	***$ 4,000***
Special Department Supplies	*2215*	*582*	
Restock garage supplies and essentials for ongoing fleet service. Set up of new vehicle and equipment added into fleet		2,500	2,500
TOTAL - Special Department Supplies	***2215***	***$ 2,500***	***$ 2,500***
Small Tools	*2220*	*582*	
Welding Gas/Supplies		300	300
Auto Part Specialty Tools		800	800
Misc. Specialty Tools		300	300
Misc. Auto Parts		100	100
TOTAL - Small Tools	***2220***	***$ 1,500***	***$ 1,500***
Vehicle Maintenance - Outside	*2226*	*582*	
Misc. Auto Repairs		71,600	71,600
Alignment, Wheel Balancing, Installs		4,400	4,400
General Equipment Repair		1,000	1,000
Smog/Emission Checks		3,000	3,000
TOTAL - Vehicle Maintenance - Outside	***2226***	***$ 80,000***	***$ 80,000***
Vehicles Parts & Supplies	*2228*	*582*	
Tires		2,000	2,000
Misc. Auto Parts		1,500	1,500
Batteries		1,000	1,000
Chemicals		500	500
Police Department Tires		2,000	2,000
Outfit Vehicles		-	-
TOTAL - Vehicles Parts & Supplies	***2228***	***$ 7,000***	***$ 7,000***
Taxes and Other Charges	*2425*	*582*	
DMV Renewal Fees		100	100
TOTAL - Taxes and Other Charges	***2425***	***$ 100***	***$ 100***

CITY OF ST. HELENA

G A R A G E C O S T A L L O C A T I O N

Fiscal Year 2022/2023

Description :

A Garage Cost Allocation is charged to all departments which have vehicles maintained at the City Garage. Costs include gas, oil, parts, and repairs to the city's fleet which consists of 44 vehicles and trucks.

DEPARTMENT NUMBER	DEPARTMENT TITLE	# OF VEHICLES	FUNDING %	ANNUAL ALLOCATION
101-47-40-23-50	Recreation	2	4.76%	15,076
101-45-00-23-50	Building Inspector	1	2.38%	7,538
101-49-00-23-50	Police	10	23.81%	75,379
101-50-00-23-50	P/W Admin	3	7.14%	22,614
101-50-15-23-50	P/W-Streets O&M	9	21.43%	67,841
101-50-27-23-50	Parks	5	11.90%	37,689
561-50-31-23-50	P/W-Water Distribution	5	11.90%	37,689
561-50-34-23-50	P/W-Water Plant	3	7.14%	22,614
571-50-20-23-50	P/W-Wastewater O&M	1	2.38%	7,538
571-50-29-23-50	P/W-Wastewater Plant	3	7.14%	22,614
TOTALS**		42	100.00%	$ 316,590
582-50-37-23-50	P/W-City Garage*	2	4.76%	0

*Cost of the 2 City Garage vehicles are allocated to the departments outside of City Garage that hold the other 42 vehicles.

Water Enterprise Fund

Enterprise Funds are used to account for operations that are financed and operated in a manner similar to private business enterprises where the intent of the City is that the costs of providing goods or services are recovered primarily through user charges. The Water Fund includes:

Water Enterprise Utility Fund (561) - accounts for activities relating to the operation of the City's water system including water distribution and treatment.

Water Capital Projects (763) - used to account for costs associated with large capital projects of the Water Fund.

Water Impact Fees (764) - accounts for connection charges paid by new users of the water system. Fees collected are to be used for future impacted Water System Capital Improvements.

Water (5031,5032,5034)

Budget 2022-23

Purpose

• Water Distribution (5031) – The Water Distribution Division is responsible for the distribution portion of the water system, providing water to users at all times at pressures and quantities required. This Division has one Supervisor, one Lead worker, and two maintenance workers that maintain all water distribution piping and facilities within the system. The Water Distribution Division also performs all meter readings, provides customer service, responds to complaints and requests, performs fire hydrant maintenance, water leak repairs, as well as enforcement of the Cross-Connection control ordinance. Funding for this Division comes from water user fees, and connection fees, or impact fees.

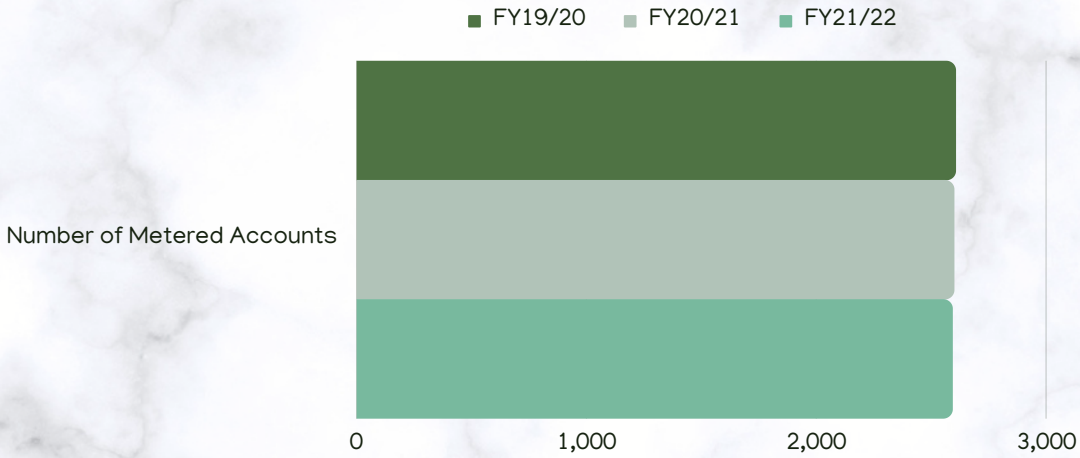
• Stonebridge Wells (5032) – The Stonebridge Wells Division in the Public Works Department is within the Water Enterprise Fund. This Division provides for the operation and maintenance of the two Stonebridge Wells. Groundwater from the two wells normally provides up to 20% of the City's annual water supply. The treatment facilities provide for filtration and chlorination. This Division is staffed by water treatment personnel and costs include utilities, phone line, processing chemicals, and certain capital equipment. Funding is provided by user charges. The FY 2019-20 budget moved all costs associated with the Stonebridge Wells into Water Distribution.

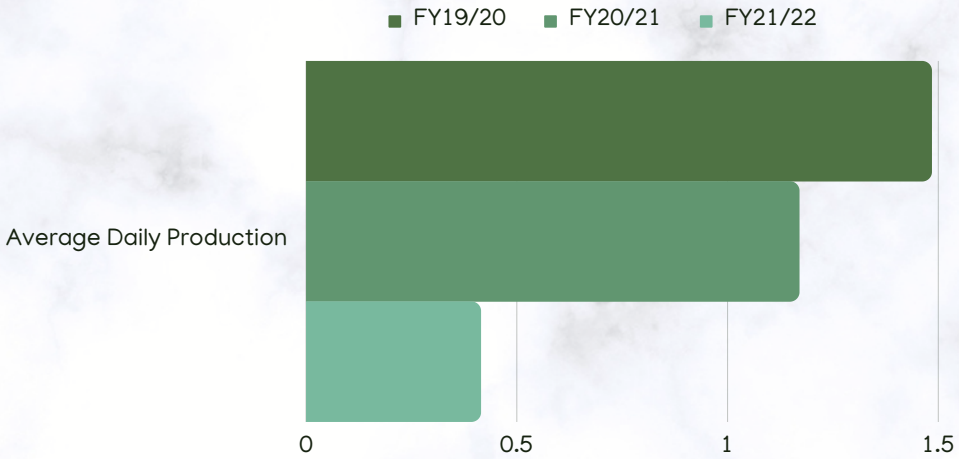
• Water Treatment (5034) – The Water Treatment Division in the Public Works Department is contained within the Water Enterprise Fund. This Division provides water from Bell Canyon Reservoir, the Stonebridge Wells, and outside sources as necessary. It is staffed by three State licensed water treatment operators, two of which are also licensed in wastewater treatment and provide standby operation of the Wastewater Treatment Plant. This Division is responsible for monthly, quarterly, and annual monitoring of all water quality aspects of the system. The treatment plant annually produces more than 500 million gallons of potable water in conformance with State water quality standards.

Funding for this division comes primarily from impact and user fees.

Water Enterprise Fund Accomplishments

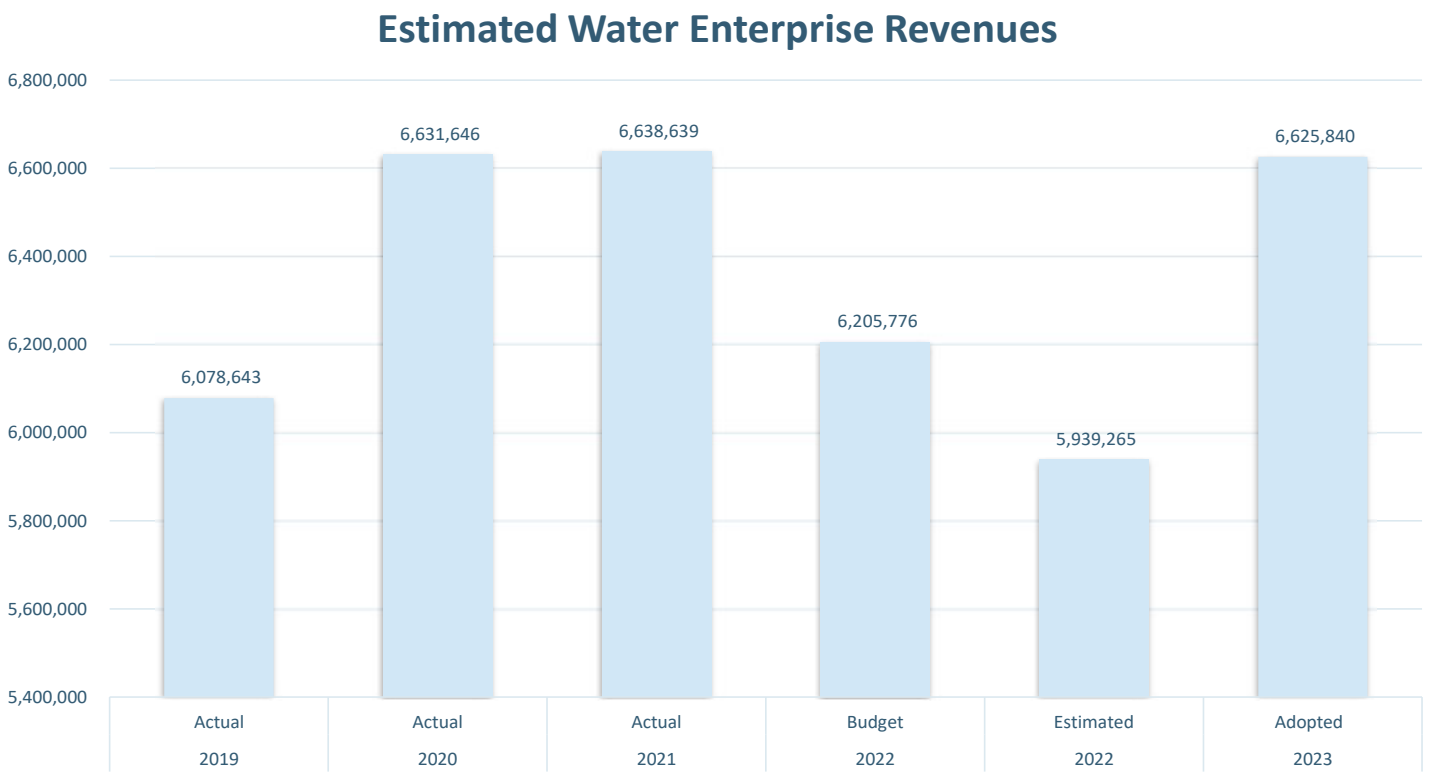
- W-26 – Completed the removal of the legacy Upper York Creek Dam Removal & Ecosystem restoration Project.
- Water Treatment Plant Programmable Logic Controllers (PLCs) and Supervisory Control and Data
- Acquisition (SCADA) upgrades project.
- Emergency Meadowood Tank Replacement Project, replace three existing water tanks and upgrade water delivery system.
- Temporary Permag Building project.





Water Fund Estimated Revenues FY 2022-23

GL Account	Description	2019 Actual	2020 Actual	2021 Actual	2022 Budget	2022 Estimated	2023 Adopted
561-31-70-00-00	Investment Earnings	126,364	125,900	56,516	50,000	50,000	54,753
561-33-80-00-00	Engineering Fees	-	-	-	1,000	1,000	1,000
561-33-83-00-00	Raw Water Permit Fees	1,400	1,164	300	1,000	250	1,000
561-33-87-00-00	Backflow Testing & Insp Fees	-	-	-	150	150	150
561-34-51-00-00	Sale Of Capital Asset	408	-	892	-	-	-
561-34-70-00-00	Other Revenue	13,234	4,392	1,559	8,500	12,535	8,500
561-38-10-00-00	Water Revenue	(196)	493	548	1,500	2	1,500
561-38-10-00-01	Residential-Inside CL	2,606,023	2,921,299	3,238,580	2,596,792	2,793,453	3,170,034
561-38-10-00-50	Residential-Outside CL	509,975	574,043	437,689	486,328	271,840	304,462
561-38-10-01-00	Multi-Dwelling-Inside CL	605,274	662,325	709,753	705,595	635,022	708,392
561-38-10-01-50	Multi Dwelling-Outside CL	12,649	21,075	1,187	19,945	4,280	4,882
561-38-10-10-00	General Commercial-Inside CL	1,973,269	2,004,185	1,961,800	2,070,001	1,929,458	2,150,624
561-38-10-17-00	Landscape Meter	122,621	249,387	196,379	180,139	145,733	160,385
561-38-10-53-20	Pumping Charge	(103)	-	-	-	-	-
561-38-10-99-10	Fire Service-Inside CL	21,546	22,923	45,605	15,362	45,980	51,497
561-38-10-99-20	Fire Service-Outside CL	28,274	12,014	11,507	7,864	11,005	12,161
561-38-10-99-50	Finance Charges	37,256	38,163	(1,339)	25,000	-	18,000
561-38-40-00-00	Property Rentals	8,400	8,400	-	8,400	-	-
561-38-60-00-00	Water Meter Install Fee	10,545	4,875	5,396	5,500	15,856	5,500
561-38-70-00-00	CARE Subsidy	1,706	(18,994)	(27,733)	22,700	22,700	(27,000)
Totals		**6,078,643**	**6,631,646**	**6,638,639**	**6,205,776**	**5,939,265**	**6,625,840**



Budget Expenses Water

WATER FUND - BUDGET ITEMS PREVIOUSLY ACCOUNTED FOR IN INDIVIDUAL DEPARTMENT BUDGETS					
Dept	**Description**	**FY 20 Actual**	**FY 21 Actual**	**FY 22 Estimated**	**FY 23 Adopted**
4000	Non Departmental	1,161,878	1,201,805	1,262,950	1,210,312
4100	Council	18,057	16,480	21,198	21,927
4200	Administration	226,889	291,200	189,415	299,603
4300	Finance	344,752	351,074	588,574	593,299
4400	Attorney	185,456	208,718	159,500	159,500
5000	Public Works Admin	974,428	1,032,332	1,094,939	857,395
5006	Government Buildings	102	-	9,000	49,000
5015	Streets	-	-	33,400	33,400
Grand Total		**2,911,562**	**3,101,609**	**3,358,975**	**3,224,436**

WATER FUND - DISTRIBUTION, STONEBRIDGE WELLS*, AND TREATMENT					
Dept	**Description**	**FY 20 Actual**	**FY 21 Actual**	**FY 22 Estimated**	**FY 23 Adopted**
5031	Distribution	577,008	719,634	981,073	844,304
5032	Stonebridge Wells	9,362	-	-	-
5034	Water Treatment	2,084,317	2,138,057	3,463,033	2,557,100
Grand Total		**2,670,687**	**2,857,691**	**4,444,106**	**3,401,404**

**Stonebridge Wells combined with Water distribution in FY 2020-21*

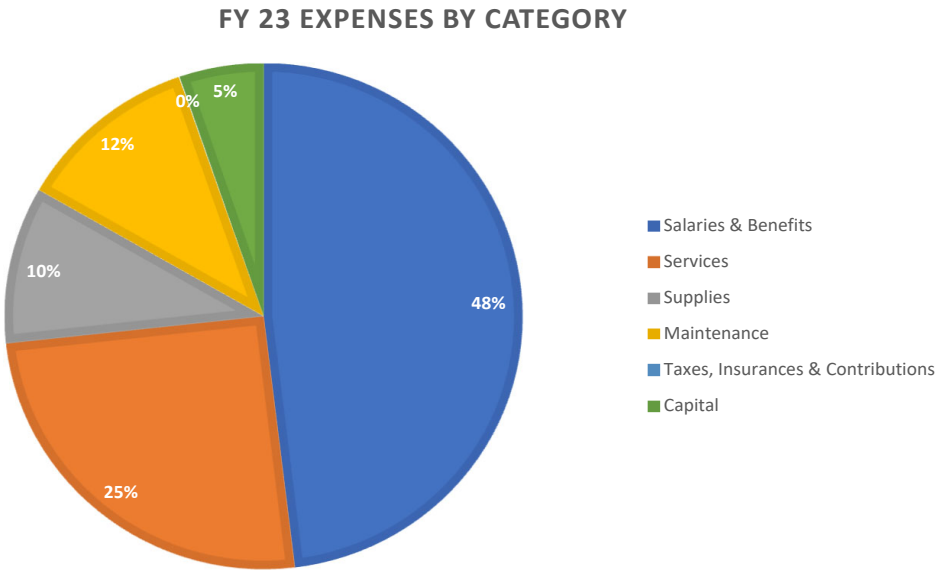
WATER FUND ESTIMATED FUND BALANCE	561 ONLY
Estimated Ending Fund Balance @ 06/30/2022	**3,203,345**
Estimated Revenue @ 06/30/2023	6,625,840
Estimated Expenses @ 06/30/2023	6,625,840
Transfers Out to Capital	-
Revenue less Expenses	-
Use of Water Cash	-
Estimated Net Position	**3,203,345**
Percent of Expenses	**48%**

Water Distribution

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
561	Water Enterprise	577,008	719,634	981,073	844,304
Grand Total		**577,008**	**719,634**	**981,073**	**844,304**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
20	Salaries & Benefits	298,134	350,556	400,569	405,915
21	Services	155,597	206,859	216,555	212,800
22	Supplies	45,472	60,891	100,267	84,650
23	Maintenance	68,014	85,136	184,662	96,039
24	Taxes, Insurances & Contributions	-	-	500	500
26	Capital	9,791	16,192	78,520	44,400
Grand Total		**577,008**	**719,634**	**981,073**	**844,304**



Water Distribution Budget - 5031

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
561	**Water Enterprise**				
50	**Public Works**				
561-50-31-20-10	Salary-Regular	152,642	193,736	223,393	232,485
561-50-31-20-25	Standby	2,460	4,460	3,857	3,857
561-50-31-20-30	Overtime	10,525	18,160	11,650	11,650
561-50-31-20-40	FICA/Medicare	16,480	17,402	18,414	19,109
561-50-31-20-45	Employer PERS	12,168	12,756	16,072	16,428
561-50-31-20-47	PERS Unfunded Liability	28,935	29,341	31,866	24,554
561-50-31-20-55	Health Insurance	54,596	59,474	78,848	82,132
561-50-31-20-61	Workers Comp	17,159	11,824	11,638	11,006
561-50-31-20-65	SDI	2,152	2,489	2,867	2,728
561-50-31-20-75	Deferred Comp	1,017	915	1,966	1,966
20	**Salaries & Benefits**	**298,134**	**350,556**	**400,569**	**405,915**
561-50-31-21-10	Communications	4,803	4,363	4,600	4,600
561-50-31-21-22	Utilities	108,032	132,968	130,500	130,500
561-50-31-21-25	Equipment Rental	33,526	60,437	23,000	23,000
561-50-31-21-45	Other Contract Services	7,809	4,697	44,955	41,200
561-50-31-21-53	Memberships & Publications	100	223	500	500
561-50-31-21-55	Training & Conference	490	2,928	10,000	10,000
561-50-31-21-57	Certifications	395	961	2,500	2,500
561-50-31-21-60	Other Travel	442	282	500	500
21	**Services**	**155,597**	**206,859**	**216,555**	**212,800**
561-50-31-22-12	Computer Equipment	423	43	-	-
561-50-31-22-13	Office Supplies	1,530	270	500	500
561-50-31-22-15	Special Department Supplies	14,874	23,770	42,617	27,000
561-50-31-22-19	Meters/Hydrants	21,623	20,830	23,000	23,000
561-50-31-22-20	Small Tools	5,353	877	5,000	5,000
561-50-31-22-35	Process Chemicals	1,670	13,600	24,150	24,150
561-50-31-22-37	Lab Supplies	-	1,500	5,000	5,000
22	**Supplies**	**45,472**	**60,891**	**100,267**	**84,650**
561-50-31-23-12	Maintenance Supplies	32,000	44,399	40,350	40,350
561-50-31-23-15	Maint Machine/Equipment	6,162	2,346	107,824	18,000
561-50-31-23-30	Maint Buildings/Grounds	619	8,798	-	-
561-50-31-23-50	Vehicle Alloc Expense	29,234	29,592	36,488	37,689
23	**Maintenance**	**68,014**	**85,136**	**184,662**	**96,039**
561-50-31-24-25	Taxes & Other Charges	-	-	500	500
24	**Taxes, Insurances & Contributi**	**-**	**-**	**500**	**500**
561-50-31-26-30	Capital Equipment	9,791	16,192	78,520	44,400
26	**Capital**	**9,791**	**16,192**	**78,520**	**44,400**
31	**Water Distribution**	**577,008**	**719,634**	**981,073**	**844,304**
Grand Total		**577,008**	**719,634**	**981,073**	**844,304**

WATER DISTRIBUTION - 5031
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Other Contract Services	*2145*	*561*	
MVP Repair Services		*6,800*	6,800
Meters to be Repaired and Tested		*2,000*	2,000
National Meter Automation Service		*800*	800
Corepro inspect Tank# Cathodic Protection		*700*	700
Miscellaneous		*400*	400
Annual Water Tests		*3,500*	3,500
PLC Water Pressure Trending		*2,000*	2,000
Pump Service Contract/Repairs		*25,000*	25,000
TOTAL - Other Contract Services	***2145***	***$ 41,200***	***$ 41,200***
Membership and Publications	*2153*	*561*	
Miscellaneous Memberships & Publications		500	500
TOTAL - Membership & Publications	***2153***	***$ 500***	***$ 500***
Training and Conferences	*2155*	*561*	
Pump Class and Misc. Training		1,500	1,500
BackFlow Class and Misc. Training		2,700	2,700
Supervisor Seminar and Misc. Training		1,300	1,300
Misc. Training		2,500	2,500
Basic Electricity Class		2,000	2,000
TOTAL - Training and Conferences	***2155***	***$ 10,000***	***$ 10,000***
Certifications	*2157*	*561*	
Miscellaneous Certifications		2,500	2,500
TOTAL - Certifications	***2157***	***$ 2,500***	***$ 2,500***
Special Department Supplies	*2215*	*561*	
Uniforms		6,000	6,000
Rain Gear		1,000	1,000
Boots		1,375	1,375
Miscellaneous Expenses		10,800	10,800
Safety Gear		625	625
Temporary Construction Signs		3,000	3,000
Data Loggers/Ground Water Monitoring		4,200	4,200
TOTAL - Special Department Supplies	***2215***	***$ 27,000***	***$ 27,000***
Water Meter/Hydrants	*2219*	*561*	
Fire Hydrants and Water Meters (as needed)		23,000	23,000
TOTAL - Equipment Rental	***2219***	***$ 23,000***	***$ 23,000***

WATER DISTRIBUTION - 5031
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Small Tools	*2220*	*561*	
Large Shop Vac		700	700
Cutting Blades for Weed Wacker		200	200
Misc. Operation Tools		3,000	3,000
Roto Hammer		600	600
Fall Protection Harnesses		500	500
TOTAL - Small Tools	***2220***	***$ 5,000***	***$ 5,000***
Maintenance Supplies	*2312*	*561*	
Service Repair Parts		16,000	16,000
Road Surface Materials		5,000	5,000
Machined Parts		2,000	2,000
Misc. Supplies		4,850	4,850
Cones/Signs/Barricades		2,000	2,000
Land Fill Fees		1,000	1,000
Oxygen and Acetylane Gas		1,500	1,500
Bacteria Lab Tests		1,500	1,500
Emergency Repair Supplies		3,000	3,000
De-Chlorination Tabs		1,500	1,500
Water Diffuser Supplies		2,000	2,000
TOTAL - Maintenance Supplies	***2312***	***$ 40,350***	***$ 40,350***
Machinery & Equipment Maintenance	*2315*	*561*	
Maintenance		16,000	16,000
ERS Annual Filter Inspection		2,000	2,000
TOTAL - Machinery & Equipment Maintenance	***2315***	***$ 18,000***	***$ 18,000***
Capital Equipment	*2630*	*561*	
Purchase Service Truck #104 - lease over 5 years. $140,000 @5% interest		32,400	32,400
Lease Vehicle #105 - Lease began FY 19		12,000	12,000
TOTAL - Capital Equipment	***2630***	***$ 44,400***	***$ 44,400***

Stonebridge Wells

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
561	Water Enterprise	9,362	-	-	-
Grand Total		**9,362**	**-**	**-**	**-**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
22	Supplies	5,969	-	-	-
23	Maintenance	3,394	-	-	-
Grand Total		**9,362**	**-**	**-**	**-**

**Budget was previously combined with Water Distribution*

Stonebridge Budget - 5032

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
561	**Water Enterprise**				
50	**Public Works**				
561-50-32-22-35	Process Chemicals	5,237	-	-	-
561-50-32-22-37	Lab Supplies	731	-	-	-
22	**Supplies**	**5,969**	**-**	**-**	**-**
561-50-32-23-15	Maint Machine/Equipment	3,394	-	-	-
23	**Maintenance**	**3,394**	**-**	**-**	**-**
32	**Stone Bridge Wells**	**9,362**	**-**	**-**	**-**
Grand Total		**9,362**	**-**	**-**	**-**

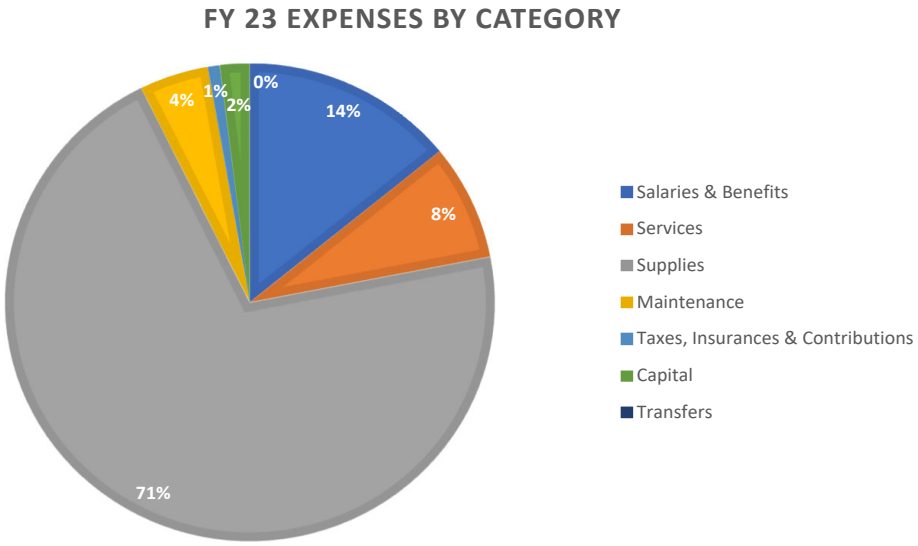
**Budget was previously combined with Water Distribution*

Water Tretament

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
561	Water Enterprise	2,084,317	2,138,057	3,463,033	2,557,100
Grand Total		**2,084,317**	**2,138,057**	**3,463,033**	**2,557,100**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
20	Salaries & Benefits	408,829	463,647	506,693	360,936
21	Services	107,733	143,072	163,789	200,050
22	Supplies	1,683,864	1,333,163	2,302,523	1,809,350
23	Maintenance	45,145	97,096	155,493	116,414
24	Taxes, Insurances & Contributions	15,747	15,045	20,000	20,000
26	Capital	11,582	86,034	314,534	50,350
29	Transfers	(188,582)	-	-	-
Grand Total		**2,084,317**	**2,138,057**	**3,463,033**	**2,557,100**



Water Treatment Budget - 5034

Account Number	Description	FY 20 Actuals	FY 21 Actuals	FY 22 Estimated	FY 23 DRAFT
561	**Water Enterprise**				
50	**Public Works**				
561-50-34-20-10	Salary-Regular	238,012	89,497	276,230	197,408
561-50-34-20-20	Temp/Part Time	-	244,154	-	-
561-50-34-20-25	Standby	11,235	5,735	8,330	8,330
561-50-34-20-30	Overtime	17,300	18,772	16,445	16,445
561-50-34-20-40	FICA/Medicare	20,480	8,723	23,178	17,103
561-50-34-20-45	Employer PERS	14,718	4,935	20,179	13,842
561-50-34-20-47	PERS Unfunded Liability	40,880	49,346	40,008	20,689
561-50-34-20-50	Employee PERS	(5)	-	-	-
561-50-34-20-55	Health Insurance	46,293	27,669	103,749	74,730
561-50-34-20-61	Workers Comp	15,933	13,022	12,801	8,438
561-50-34-20-65	SDI	2,675	1,212	3,612	2,444
561-50-34-20-71	Unemployment	-	487	-	-
561-50-34-20-75	Deferred Comp	1,309	94	2,162	1,507
20	**Salaries & Benefits**	**408,829**	**463,647**	**506,693**	**360,936**
561-50-34-21-10	Communications	7,148	7,482	6,950	6,950
561-50-34-21-22	Utilities	71,818	65,629	85,000	85,000
561-50-34-21-25	Equipment Rental	-	2,912	2,000	2,000
561-50-34-21-45	Other Contract Services	27,838	66,347	67,939	97,100
561-50-34-21-53	Memberships & Publications	433	391	1,500	1,500
561-50-34-21-55	Training & Conference	496	313	400	6,000
561-50-34-21-57	Certifications	-	-	-	1,500
21	**Services**	**107,733**	**143,072**	**163,789**	**200,050**
561-50-34-22-12	Computer Equipment	2,000	-	3,219	-
561-50-34-22-13	Office Supplies	404	440	700	500
561-50-34-22-15	Special Department Supplies	3,765	3,157	8,450	8,000
561-50-34-22-20	Small Tools	846	703	200	850
561-50-34-22-25	Fuel/Oil	2,710	1,124	5,000	5,000
561-50-34-22-32	Purchase Water	1,554,100	1,238,825	2,158,384	1,700,000
561-50-34-22-35	Process Chemicals	108,227	74,741	106,270	75,000
561-50-34-22-37	Lab Supplies	11,813	14,174	20,300	20,000
22	**Supplies**	**1,683,864**	**1,333,163**	**2,302,523**	**1,809,350**
561-50-34-23-11	Maint Office Equip	-	-	7,800	7,800
561-50-34-23-12	Maintenance Supplies	108	12,266	5,800	6,000
561-50-34-23-15	Maint Machine/Equipment	27,108	49,021	105,000	65,000
561-50-34-23-30	Maint Buildings/Grounds	388	18,054	15,000	15,000
561-50-34-23-50	Vehicle Alloc Expense	17,540	17,755	21,893	22,614
23	**Maintenance**	**45,145**	**97,096**	**155,493**	**116,414**
561-50-34-24-25	Taxes & Other Charges	15,747	15,045	20,000	20,000
24	**Taxes, Insurances & Contributi**	**15,747**	**15,045**	**20,000**	**20,000**
561-50-34-26-30	Capital Equipment	11,582	6,353	6,600	6,600
561-50-34-26-70	Capital Imp Equipment	-	79,681	307,934	43,750
26	**Capital**	**11,582**	**86,034**	**314,534**	**50,350**

Water Treatment Budget - 5034

Account Number	Description	FY 20 Actuals	FY 21 Actuals	FY 22 Estimated	FY 23 DRAFT
561-50-34-29-20	Fixed Asset Adjustments	(188,582)	-	-	-
29	**Transfers**	**(188,582)**	**-**	**-**	**-**
34	**Water Treatment**	**2,084,317**	**2,138,057**	**3,463,033**	**2,557,100**
Grand Total		**2,084,317**	**2,138,057**	**3,463,033**	**2,557,100**

WATER TREATMENT - 5034
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Equipment Rental	*2125*	*561*	
Various Tools (Hand tools, Hilti)		2,000	2,000
TOTAL - Equipment Rental	***2125***	***$ 2,000***	***$ 2,000***
Other Contract Services	*2145*	*561*	
Water Testing		*25,000*	25,000
Contract Crews for Spillway and Dam Maintenance		*20,000*	20,000
ERS Filter Surveillance		*10,000*	10,000
PLC Water Pressure Trending		*2,100*	2,100
Generator Maintenance		*2,000*	2,000
Sludge Removal from Pond		*38,000*	38,000
TOTAL - Other Contract Services	***2145***	***$ 97,100***	***$ 97,100***
Memberships & Publications	*2153*	*561*	
Operator Certification		1,500	1,500
TOTAL - Memberships & Publications	***2153***	***$ 1,500***	***$ 1,500***
Training and Conferences	*2155*	*561*	
Miscellaneous Training		6,000	6,000
TOTAL - Training and Conferences	***2155***	***$ 6,000***	***$ 6,000***
Certifications	*2157*	*561*	
Miscellaneous Certifications		1,500	1,500
TOTAL - Certifications	***2157***	***$ 1,500***	***$ 1,500***
Special Department Supplies	*2215*	*561*	
Uniforms and Rain Gear		2,000	2,000
Safety Equipment, Boots, Other		3,650	3,650
Data Loggers/Ground Water Monitoring		2,350	2,350
TOTAL - Special Department Supplies	***2215***	***$ 8,000***	***$ 8,000***

WATER TREATMENT - 5034
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Process Chemicals	*2235*	*561*	
Alum		8,960	8,960
Copper Sulfate		8,960	8,960
NaOH		5,800	5,800
NaOCl		5,800	5,800
Non-Ionic Polymer		1,320	1,320
Ascorbic Acid		760	760
NaMNO4		6,320	6,320
PO4		3,432	3,432
Activated Carbon		30,640	30,640
Sodium Sulfite		768	768
Stonebridge Wells		2,240	2,240
TOTAL - Process Chemicals	***2235***	***$ 75,000***	***$ 75,000***
Machinery & Equipment Maintenance	*2315*	*561*	
Annual Maintenance & Machine Service		65,000	65,000
TOTAL - Machinery & Equipment Maintenance	***2315***	***$ 65,000***	***$ 65,000***
Taxes and Other Charges	*2425*	*561*	
CDPH System Fees		19,000	19,000
BAAQMD Generator Permit Fee		1,000	1,000
TOTAL - Taxes and Other Charges	***2524***	***$ 20,000***	***$ 20,000***
Capital Equipment	*2630*	*561*	
Vehicle Lease - entered into in FY 19		6,600	6,600
TOTAL - Capital Equipment	***2630***	***$ 6,600***	***$ 6,600***
Capital Improvement Equipment	*2670*	*561*	
Clearwell Mixer		8,750	8,750
Water Quality Analyzers for Regulatory Compliance		35,000	35,000
TOTAL - Capital Improvement Equipment	***2670***	***$ 43,750***	***$ 43,750***

Wastewater Enterprise Fund

Enterprise Funds are used to account for operations that are financed and operated in a manner similar to private business enterprises where the intent of the City is that the costs of providing goods & services are recovered primarily through user charges. The fund includes:

Wastewater Enterprise Utility Fund (571) – accounts for sewage collection and treatment activities associated with the City's water system.

Wastewater Capital Projects (773) – used to account for costs associated with large capital projects of the sewer fund.

Wastewater Impact Fees (774) – accounts for connection charges paid by new users of the sewer system. Fees collected are to be used for the costs of constructing and improving the Wastewater Treatment Plant and Sewer Collection System only.

Wastewater (5020,5029)

Budget 2022-23

Purpose

• Wastewater Collection (5020) – The Wastewater Collection (Sewer) Division of the Public Works Department operates and maintains the wastewater collection system and related equipment throughout the City. Staffing and equipment for this Division has historically been shared with Streets and Storm Drains. An ongoing maintenance program includes sewer main and lateral lining to reduce root maintenance and infiltration/inflow to the system. The user fees from Sewer Enterprise Fund provide the Division's funding. Capital improvements are described and funded separately.

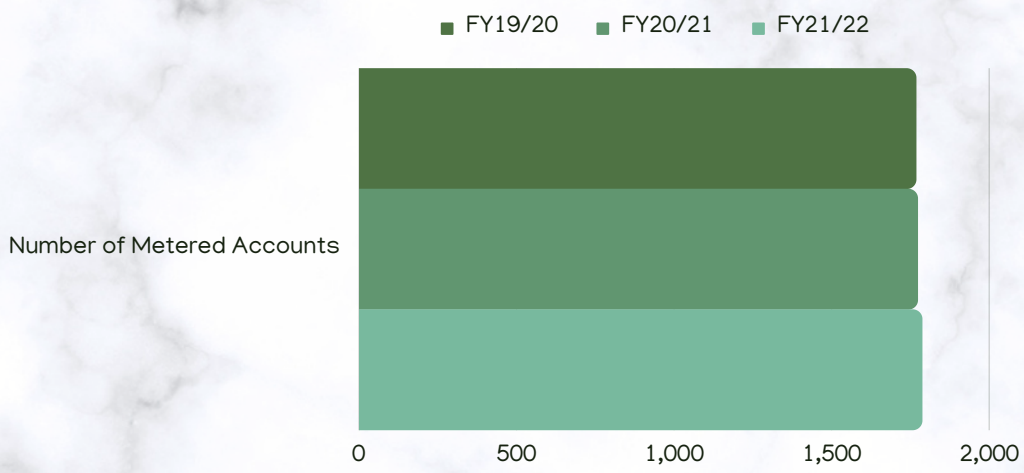
• Wastewater Treatment (5029) – The Wastewater Treatment Plant Division in the Public Works Department is responsible for the treatment and disposition of the City's wastewater. During the dry season, the Wastewater Treatment Plant treats an average of approximately 0.4 million gallons per day (MGD). Peak winter flows exceed 3 MGD. The facility is operated by three State certified wastewater treatment operators with additional staffing from cross-certified Water Treatment Plant personnel. The budget unit is primarily funded by wastewater user fees.

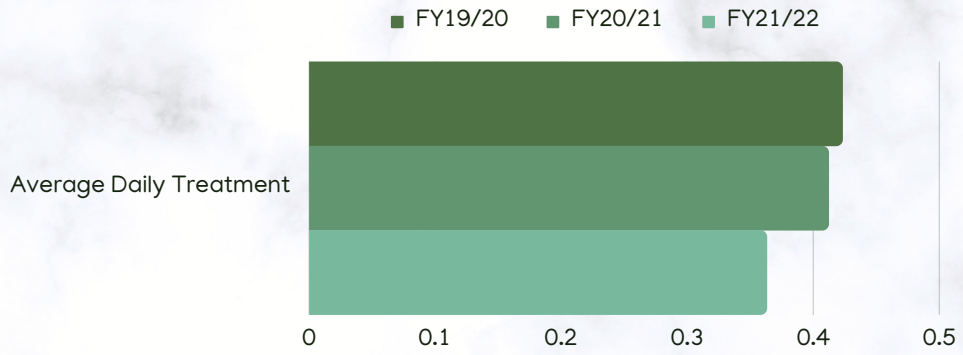
Wastewater (5020,5029)

Budget 2022-23

Wastewater Enterprise Fund Accomplishments

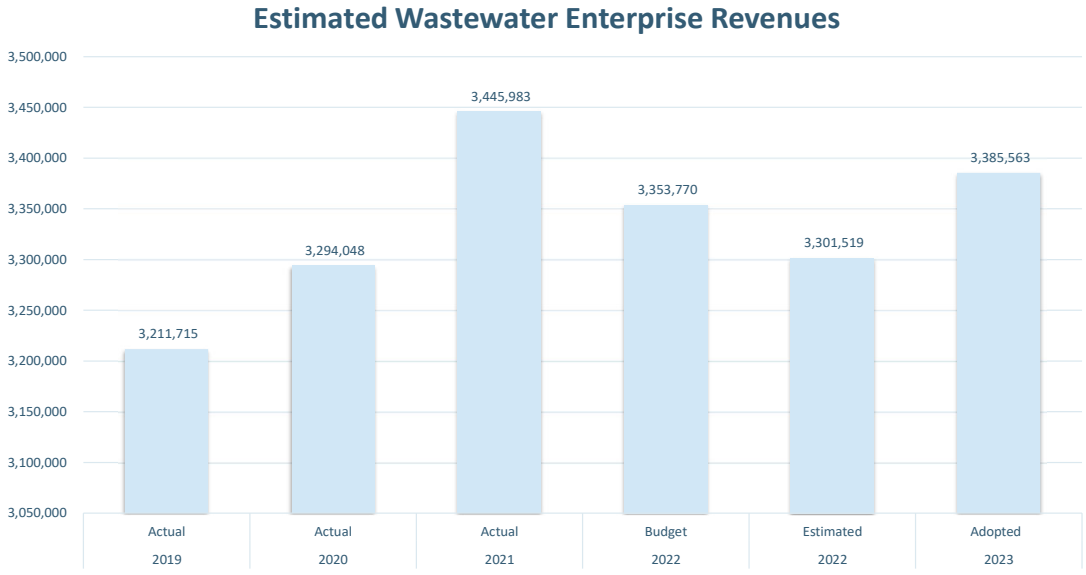
- Submitted presentation to City Council of the Integrated Utility Master Plan Findings and Recommendations
- Plans and specifications were approved for the Wastewater Treatment and Reclamation Plant Phase I Upgrades, CIP Project No. S-52. City will advertise for bids next.
- Main Street Sewer Lateral program, this is part of the R18-81 Downtown Sidewalk Improvements Project.
- A CIP project was approved and created for a Recycled Pipeline and Pump Station project, CIP S21-01.





Wastewater Fund Estimated Revenues FY 2022-23

GL Account	Description	2019 Actual	2020 Actual	2021 Actual	2022 Budget	2022 Estimated	2023 Adopted
571-31-70-00-00	Investment Earnings	36,101	54,152	30,836	20,000	20,000	50,392
571-32-80-00-00	Emergency Relief		23,558	-	-	-	-
571-34-51-00-00	Sale of Captial Assets		-	15,613	-	3,510	-
571-34-70-00-00	Other Revenue	14,016	12,650	12,446	9,600	10,325	9,600
571-34-80-00-00	Annexation Fees	4,000	3,300	11,635	2,600	4,788	2,600
571-35-00-00-00	Residential	1,434,219	1,465,699	1,602,394	1,472,369	1,481,015	1,503,230
571-35-00-01-00	Multiple Dwelling	250,850	255,373	289,829	216,912	263,800	267,757
571-35-00-03-00	Laundromat	12,590	12,939	14,692	14,531	17,226	17,485
571-35-00-10-00	General Commercial	1,097,698	1,162,135	1,226,551	1,251,227	1,195,946	1,213,885
571-35-00-11-00	Restaurants	114,377	102,175	89,780	130,036	104,586	106,155
571-35-00-12-00	Service Station	2,287	2,820	5,362	3,213	3,168	3,216
571-35-00-14-00	Motels-No Food Service	124,032	104,821	80,110	135,765	139,477	141,570
571-35-00-15-00	Supermarkets	14,256	14,862	12,868	17,935	13,380	13,581
571-35-00-18-00	Mixed Retial-Plus Food Service	21,893	16,256	15,313	19,463	17,114	17,370
571-35-00-20-00	Industrial	26,731	19,733	18,035	20,523	21,947	22,276
571-35-00-30-00	Libraries & Schools	34,139	40,082	35,033	37,773	23,339	23,689
571-35-00-60-60	Car Wash	2,162	2,058	1,981	2,123	1,997	2,057
571-38-10-99-50	Finance Charges	18,455	13,444	(657)	18,500	-	9,500
571-38-65-00-00	Sewer Connection Fee	2,600	1,300	3,900	1,300	-	1,300
571-38-70-00-00	CARE Subsidy	1,310	(13,308)	(19,738)	(20,100)	(20,100)	(20,100)
Totals		**3,211,715**	**3,294,048**	**3,445,983**	**3,353,770**	**3,301,519**	**3,385,563**



Budget Expenses Wastewater

WASTEWATER FUND - BUDGET ITEMS PREVIOUSLY ACCOUNTED FOR IN INDIVIDUAL DEPARTMENT BUDGETS					
Dept	**Description**	**FY 20 Actual**	**FY 21 Actual**	**FY 22 Estimated**	**FY 23 Adopted**
4000	Non Departmental	881,703	613,840	546,994	495,689
4100	Council	18,057	16,480	21,198	21,927
4200	Administration	169,560	206,431	128,201	202,115
4300	Finance	254,899	259,425	406,839	456,929
4400	Attorney	14,608	7,869	26,500	26,500
5000	Public Works Admin	933,788	870,747	918,566	678,779
5006	Government Buildings	-	-	9,000	14,000
5015	Streets	-	-	33,400	33,400
Grand Total		**2,272,616**	**1,974,791**	**2,090,697**	**1,929,339**

WASTEWATER FUND - COLLECTION AND TREATMENT					
Dept	**Description**	**FY 20 Actual**	**FY 21 Actual**	**FY 22 Estimated**	**FY 23 Adopted**
5020	Collection	196,869	240,219	342,866	559,971
5029	Treatment	931,843	800,513	1,183,912	896,253
Grand Total		**1,128,712**	**1,040,732**	**1,526,778**	**1,456,224**

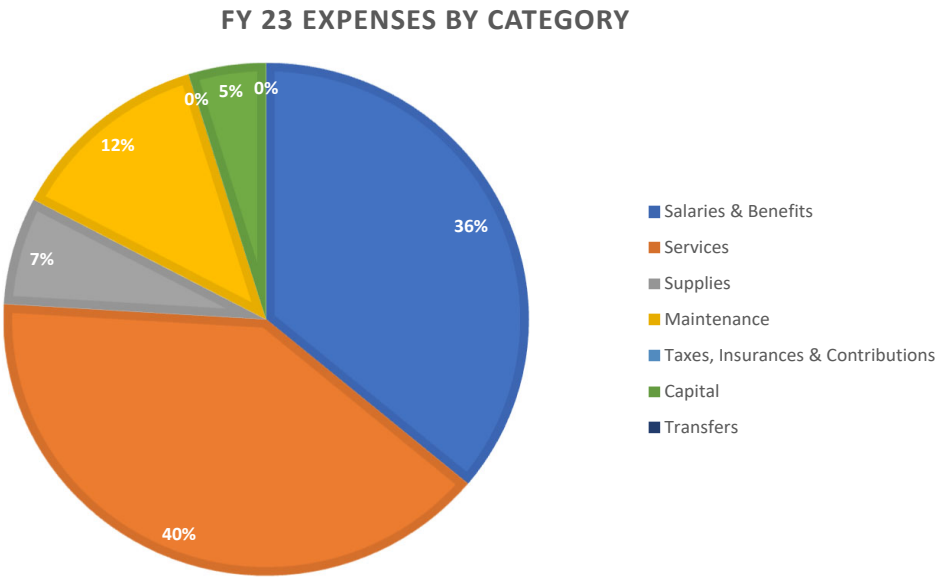
WASTEWATER FUND ESTIMATED FUND BALANCE	571 ONLY
Estimated Ending Fund Balance @ 06/30/2022	**3,771,200**
Estimated Revenue @ 06/30/2023	3,385,563
Estimated Expenses @ 06/30/2023	3,385,563
Revenue less Expenses	-
Use of Wastewater Cash	-
Estimated Net Position	**3,771,200**
Percent of Expenses	**111%**

Wastewater Collections

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
571	Sewer Enterprise	196,869	240,219	342,866	559,971
Grand Total		**196,869**	**240,219**	**342,866**	**559,971**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
20	Salaries & Benefits	158,153	180,991	199,268	201,933
21	Services	6,990	12,278	34,450	223,400
22	Supplies	3,806	11,986	29,650	37,900
23	Maintenance	24,071	25,623	52,798	70,038
24	Taxes, Insurances & Contributions	17	-	-	-
26	Capital	3,833	9,342	26,700	26,700
29	Transfers	-	-	-	-
Grand Total		**196,869**	**240,219**	**342,866**	**559,971**



Wastewater Collection Budget - 5020

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
571	**Sewer Enterprise**				
50	**Public Works**				
571-50-20-20-10	Salary-Regular	92,645	102,810	111,665	116,203
571-50-20-20-25	Standby	2,060	2,210	3,857	3,857
571-50-20-20-30	Overtime	11,411	9,041	3,000	3,000
571-50-20-20-40	FICA/Medicare	8,153	8,739	9,136	9,483
571-50-20-20-45	Employer PERS	6,431	6,427	8,034	8,211
571-50-20-20-47	PERS Unfunded Liability	10,241	14,670	15,929	12,273
571-50-20-20-55	Health Insurance	19,614	29,475	39,424	41,066
571-50-20-20-61	Workers Comp	5,883	5,912	5,819	5,503
571-50-20-20-65	SDI	1,052	1,249	1,422	1,354
571-50-20-20-75	Deferred Comp	662	458	983	983
20	**Salaries & Benefits**	**158,153**	**180,991**	**199,268**	**201,933**
571-50-20-21-10	Communications	-	94	400	400
571-50-20-21-22	Utilities	2,447	2,759	5,000	5,000
571-50-20-21-25	Equipment Rental	-	4,330	17,500	17,500
571-50-20-21-45	Other Contract Services	2,267	1,684	1,050	185,000
571-50-20-21-53	Memberships & Publications	1,997	402	3,500	5,000
571-50-20-21-55	Training & Conference	190	582	4,500	8,000
571-50-20-21-57	Certifications	89	2,427	2,500	2,500
21	**Services**	**6,990**	**12,278**	**34,450**	**223,400**
571-50-20-22-13	Office Supplies	14	90	100	100
571-50-20-22-15	Special Department Supplies	3,531	11,896	26,750	35,000
571-50-20-22-20	Small Tools	260	-	2,800	2,800
22	**Supplies**	**3,806**	**11,986**	**29,650**	**37,900**
571-50-20-23-12	Maintenance Supplies	5,751	7,425	25,000	25,000
571-50-20-23-15	Maint Machine/Equipment	12,394	12,279	20,500	37,500
571-50-20-23-30	Maint Buildings/Grounds	79	-	-	-
571-50-20-23-50	Vehicle Alloc Expense	5,847	5,918	7,298	7,538
23	**Maintenance**	**24,071**	**25,623**	**52,798**	**70,038**
571-50-20-24-25	Taxes & Other Charges	17	-	-	-
24	**Taxes, Insurances & Contributions**	**17**	**-**	**-**	**-**
571-50-20-26-30	Capital Equipment	3,833	9,342	26,700	26,700
571-50-20-26-50	Capital Imp Land	-	-	-	-
26	**Capital**	**3,833**	**9,342**	**26,700**	**26,700**
20	**Sewer Collections**	**196,869**	**240,219**	**342,866**	**559,971**
Grand Total		**196,869**	**240,219**	**342,866**	**559,971**

WASTEWATER COLLECTION - 5020
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Memberships & Publications	*2153*	*571*	
Books		1,000	1,000
CWEA Exam and 1 year membership		2,500	2,500
CWEA Membership, E-8, E-11, E-6		1,500	1,500
TOTAL - Memberships & Publications	***2153***	***$ 5,000***	***$ 5,000***
Training & Conference	*2155*	*571*	
Vactor Operator Training		3,000	3,000
Certification CEU's		5,000	5,000
TOTAL - Training & Conference	***2155***	***$ 8,000***	***$ 8,000***
Certifications	*2157*	*571*	
Miscellaneous Certifications		2,500	2,500
TOTAL - Certifications	***2157***	***$ 2,500***	***$ 2,500***
Special Department Supplies	*2215*	*571*	
Misc. Supplies		1,700	1,700
Nozzles & Hooks		1,000	1,000
Uniforms		19,000	19,000
Trench Restore		500	500
Drill Bits		500	500
Signs		300	300
Boots		2,000	2,000
Vehicle Supplies (lights, strobes, radios)		2,500	2,500
Sewer Repair Supplies		7,500	7,500
TOTAL - Special Department Supplies	***2215***	***$ 35,000***	***$ 35,000***
Maintenance Supplies	*2312*	*571*	
Pipe, Gravel, Fittings, etc.		25,000	25,000
TOTAL - Maintenance Supplies	***2312***	***$ 25,000***	***$ 25,000***

WASTEWATER COLLECTION - 5020
EXPENSE DETAIL

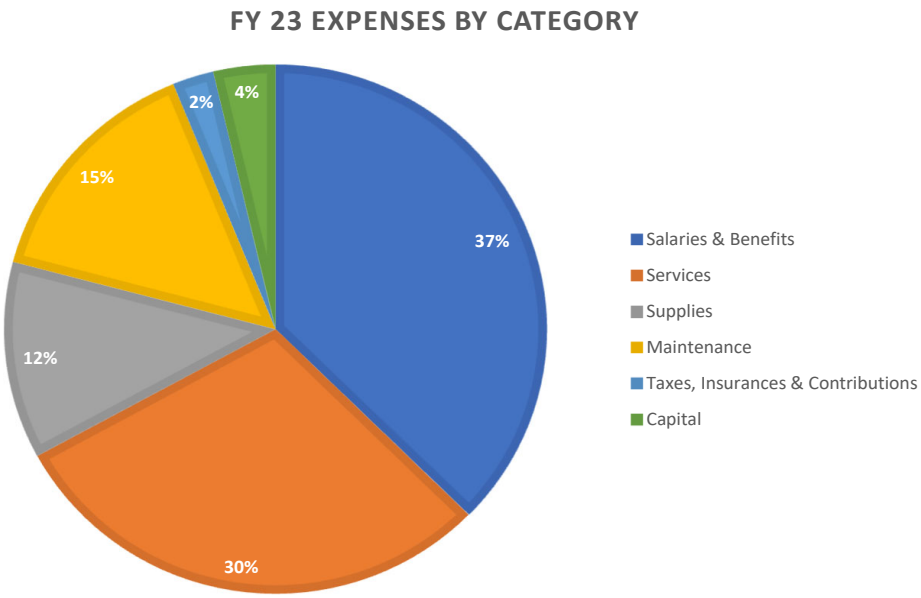
Description	Object Code	Funding Source	Total Budgeted
Machinery & Equipment Maintenance	*2315*	*571*	
Maintenance as Needed		14,200	14,200
Video Camera		2,000	2,000
Gas Detector Sensors		3,300	3,300
Large Rodder - Towable Rod, Bits, and Maintenance		1,000	1,000
Maintenance of Vactor Truck		17,000	17,000
TOTAL - Machinery & Equipment Maintenance	***2315***	***$ 37,500***	***$ 37,500***
Capital Equipment	*2630*	*571*	
Annual Lease Vehicle 202 Replaced FY 19		7,500	7,500
Lease - Vehicle 208, costs split with Streets - $150,000 for 5 years @ 5%		19,200	19,200
TOTAL - Capital Equipment	***2630***	***$ 26,700***	***$ 26,700***

Wastewater Treatment

Expenses by Fund and Category

Fund	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
571	Sewer Enterprise	931,843	800,513	1,183,912	896,253
Grand Total		**931,843**	**800,513**	**1,183,912**	**896,253**

Object Code	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
50	***Public Works***				
20	Salaries & Benefits	431,436	479,782	486,361	334,944
21	Services	208,955	173,165	227,225	265,995
22	Supplies	152,074	69,316	273,877	108,000
23	Maintenance	100,942	61,980	129,093	132,314
24	Taxes, Insurances & Contributions	13,032	16,271	22,000	22,000
26	Capital	25,403	-	45,357	33,000
Grand Total		**931,843**	**800,513**	**1,183,912**	**896,253**



Wastewater Treatment Budget - 5029

Account Numbe	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
571	**Sewer Enterprise**				
50	**Public Works**				
571-50-29-20-10	Salary-Regular	238,356	240,768	269,903	186,774
571-50-29-20-20	Temp/Part Time	-	41,488	-	-
571-50-29-20-25	Standby	8,900	11,930	8,330	8,330
571-50-29-20-30	Overtime	15,418	22,578	13,500	13,500
571-50-29-20-40	FICA/Medicare	18,498	21,826	22,469	16,064
571-50-29-20-45	Employer PERS	12,698	15,643	18,926	12,153
571-50-29-20-47	PERS Unfunded Liability	34,545	35,848	37,524	18,164
571-50-29-20-55	Health Insurance	66,820	71,711	97,244	67,719
571-50-29-20-61	Workers Comp	32,643	13,022	12,801	8,438
571-50-29-20-65	SDI	2,418	3,029	3,501	2,295
571-50-29-20-71	Unemployment	-	487	-	-
571-50-29-20-75	Deferred Comp	1,140	1,453	2,162	1,507
20	**Salaries & Benefits**	**431,436**	**479,782**	**486,361**	**334,944**
571-50-29-21-10	Communications	1,977	2,637	4,000	4,000
571-50-29-21-15	Postage	-	-	50	50
571-50-29-21-22	Utilities	107,113	122,824	95,645	95,645
571-50-29-21-25	Equipment Rental	1,466	-	1,000	25,000
571-50-29-21-43	Fines & Penalties	57,000	-	12,000	30,000
571-50-29-21-45	Other Contract Services	38,466	47,704	109,030	105,800
571-50-29-21-53	Memberships & Publications	478	-	1,500	1,500
571-50-29-21-55	Training & Conference	1,996	-	2,500	2,500
571-50-29-21-57	Certifications	459	-	1,500	1,500
21	**Services**	**208,955**	**173,165**	**227,225**	**265,995**
571-50-29-22-12	Computer Equipment	3,172	-	-	-
571-50-29-22-13	Office Supplies	1,085	219	500	500
571-50-29-22-15	Special Department Supplies	20,440	13,796	10,000	15,000
571-50-29-22-20	Small Tools	4,434	596	2,500	2,500
571-50-29-22-25	Fuel/Oil	4,057	3,122	5,000	5,000
571-50-29-22-35	Process Chemicals	111,206	37,885	245,877	70,000
571-50-29-22-37	Lab Supplies	7,680	13,698	10,000	15,000
22	**Supplies**	**152,074**	**69,316**	**273,877**	**108,000**
571-50-29-23-12	Maintenance Supplies	2,021	28,230	75,000	75,000
571-50-29-23-15	Maint Machine/Equipment	81,263	13,740	27,200	27,200
571-50-29-23-30	Maint Buildings/Grounds	118	2,255	5,000	7,500
571-50-29-23-50	Vehicle Alloc Expense	17,540	17,755	21,893	22,614
23	**Maintenance**	**100,942**	**61,980**	**129,093**	**132,314**
571-50-29-24-25	Taxes & Other Charges	13,032	16,271	22,000	22,000
24	**Taxes, Insurances & Contributi**	**13,032**	**16,271**	**22,000**	**22,000**
571-50-29-26-30	Capital Equipment	25,403	-	45,357	33,000
571-50-29-26-50	Capital Imp Land	-	-	-	-
26	**Capital**	**25,403**	**-**	**45,357**	**33,000**

Wastewater Treatment Budget - 5029

Account Number	Description	FY 20 Actual	FY 21 Actual	FY 22 Estimated	FY 23 Adopted
29	Sewer Maintenance Operations	931,843	800,513	1,183,912	896,253
Grand Total		931,843	800,513	1,183,912	896,253

WASTEWATER TREATMENT- 5029
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Equipment Rental	*2125*	*571*	
Crane, Boom Truck		*1,000*	1,000
Rental of Portable Office Space		*24,000*	24,000
TOTAL - Equipment Rental	***2125***	***$ 25,000***	***$ 25,000***
Other Contract Services	*2145*	*571*	
Influent/Effluent Lab Analysis		*71,500*	71,500
Generator Bi-annual Service		*3,800*	3,800
Mosquito Abatement (weed/mosquito)		*500*	500
Road/Levee Maintenance and Repairs		*25,000*	25,000
Weed Abatement		*5,000*	5,000
TOTAL - Other Contract Services	***2145***	***$ 105,800***	***$ 105,800***
Memberships & Publications	*2153*	*571*	
SWRCB Exams		1,500	1,500
TOTAL - Memberships & Publications	***2153***	***$ 1,500***	***$ 1,500***
Training and Conferences	*2155*	*571*	
Miscellaneous Training		2,500	2,500
TOTAL - Training and Conferences	***2155***	***$ 2,500***	***$ 2,500***
Certifications	*2157*	*571*	
Wastewater Certifications		1,500	1,500
TOTAL - Certifications	***2157***	***$ 1,500***	***$ 1,500***
Special Department Supplies	*2215*	*571*	
Miscellaneous Department Supplies & Safety Equipment - gas monitor, load testing cert., potable water, drinking water		13,000	13,000
Uniform Service		2,000	2,000
TOTAL - Special Department Supplies	***2215***	***$ 15,000***	***$ 15,000***
Small Tools	*2220*	*571*	
Miscellaneous Tools - wrenches, pliers, consumables such as drill bits, saw blades, and grinding wheels		2,500	2,500
TOTAL - Small Tools	***2220***	***$ 2,500***	***$ 2,500***

WASTEWATER TREATMENT- 5029
EXPENSE DETAIL

Description	Object Code	Funding Source	Total Budgeted
Process Chemicals	*2235*	*571*	
Various Chemicals to Treat Waste		70,000	70,000
TOTAL - Process Chemicals	***2235***	***$ 70,000***	***$ 70,000***
Lab Supplies	*2237*	*571*	
General Equipment and Supplies		12,000	12,000
Sample/Monitoring Ground Water		3,000	3,000
TOTAL - Lab Supplies	***2237***	***$ 15,000***	***$ 15,000***
Maintenance Supplies	*2312*	*571*	
Other General Maintenance & Repairs		75,000	75,000
TOTAL - Maintenance Supplies	***2312***	***$ 75,000***	***$ 75,000***
Machinery & Equipment Maintenance	*2315*	*571*	
Muffin Monster Rebuild		20,000	20,000
Copier		7,200	7,200
TOTAL - Machinery & Equipment Maintenance	***2315***	***$ 27,200***	***$ 27,200***
Capital Equipment	*2630*	*571*	
Replace Truck (lease - annual costs)		8,000	8,000
Air Operator Discharge Valve		25,000	25,000
TOTAL - Capital Equipment	***2630***	***$ 33,000***	***$ 33,000***

Capital Improvement Program

Summary
The FY 2023-2027 City of St. Helena Capital Improvement Plan (CIP) is the City's commitment to building a more resilient and vibrant future for the residents, workers, and visitors of St. Helena. The CIP is updated annually and is a fiscally constrained expenditure plan that lays out estimated infrastructure investments over the next five years. Projects in the CIP are divided into five Service Areas: General Government (Civic), Streets, Water, Wastewater, and Storm drains. On May 31, 2022, the FY 2022/23 to 2026/27 draft CIP project list was being presented to City Council for review and was adopted by City Council on June 14, 2022. Each Service Area chapter describes the associated Budgeted Projects and Deferred Projects. General Fund and Enterprise Funds are both represented to give as full a picture of St. Helena's capital needs as possible.

The purpose of the City of St. Helena Capital Improvement Program (CIP) is a five-year planning tool that identifies anticipated capital improvements and their funding sources for fiscal years 2022/23 through 2026/27. The CIP does not appropriate funds, but rather, functions as a budgeting and planning tool which supports actual appropriations that are made through the budgeting adoption. Cost estimates provided in the CIP are based on an order-of-magnitude. During the budget adoption, funds are appropriated for the upcoming fiscal year only – FY 2022/23. The subsequent four years are subject to change due to more detailed engineering analysis becoming available, City Council direction on project priorities, updates to revenues, and changes in project costs.

GENERAL OVERVIEW OF CIP
The CIP budget includes annual appropriations for capital improvement projects such as street or park improvements, building construction, and various kids of major facility maintenance. Capital improvement projects are often multi-year projects that require funding beyond the one-year periods of the annual budget.

ANALYSIS
The City's FY 2023-2027 CIP consists of 29 projects in five divisions totaling approximately $32.5 million over a five-year period. Over half of the total CIP budget is for Project S-52 Wastewater Treatment Plant Upgrade Project which is estimated to be substantially completed by August 2023. A majority of the fiscal impact to the CIP have been carried over from prior years and any additional funds, or unfunded needs, have been identified in the proposed operating budget for FY 2022-23. All funds and expenditures beyond FY 2022-23 have no direct fiscal impact because the CIP is not a financial commitment by City Council, but rather a planning and forecasting tool.

In FY 2022/23 there are a total of 19 projects, of which 5 are design only. Twelve (12) projects in FY 2022/23 are considered significant (over $200,000) CIP projects which are non-reoccurring capital expenditures.

5-YEAR CAPITAL IMPROVEMENTS PROGRAM

City of St. Helena, CA

FY 2022-23 to FY 2026-27

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City of St. Helena FY 2022-23 to FY 2027-28

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Global Summary Report

City of St. Helena FY 2022-23 to FY 2026-27

		Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	TOTALS
PROJECT CATEGORY EXPENDITURES									
1	Civic	479,620		2,356,019	50,000	75,500		100,000	3,061,139
2	Streets	898,534		2,028,056	2,208,664	2,141,415	2,203,486	1,227,083	10,707,238
3	Water	289,313		900,000	503,000	3,900,000	250,000		5,842,313
4	Wastewater	5,509,980		13,485,847					18,995,827
5	Stormwater	346,575		121,384			190,200		658,159
TOTALS		7,524,022		18,891,306	2,761,664	6,116,915	2,643,686	1,327,083	39,264,676
PROJECT FUNDING SOURCES									
101	General Fund	227,285		1,478,684				87,639	1,793,608
101	General Fund - Measure T/RMRA MOE	59,800					190,200		250,000
101	General Fund - Measure T/RMRA MOE (Prior Year)	75,000			203,314	297,000	297,000		872,314
230	Gas Tax	159,595		150,405					310,000
230	Gas Tax - RMRA/SB1	108,000		60,000	60,000				228,000
240	Measure T	380,280		895,286	1,697,300	1,241,415	1,303,486	1,227,083	6,744,850
420	Go Bonds							12,361	12,361
571	Wastewater Cash Operations Fund Balance			2,684,114					2,684,114
592	Equipment Replacement Fund			169,472					169,472
700	Flood Control Funds	74,658		70,555					145,213
733	Civic State of CA OES PSPS Grant	196,487							196,487
733	Prop 68 Grant			170,000					170,000
733	Civic CIP	65,496		22,004					87,500
734	Park Impact Fees	54,852		515,859	50,000	75,500			696,211
740	Traffic Impact Fees Fund Loan			873,610					873,610
741	Streets Capital Improvement - NVTA			94,000					94,000
741	Streets Capital Improvement - Grant OBAG III					603,000	603,000		1,206,000
741	LMR Cost Share			104,200					104,200
741	Streets Capital Improvement			326,800					326,800
741	Streets Capital Improvement - Grant TDA III			50,000					50,000
741	Streets Capital Improvement - HSIP	36,501		276,810	248,050				561,361
742	Storm Drain Impact Fees	286,775		121,384					408,159
763	Water Capital Improvement	289,313		900,000					1,189,313
763	Water Capital Improvement - Debt				503,000	3,900,000	250,000		4,653,000
764	Water Impact Fees	70,192		49,708					119,900
773	Wastewater Capital Improvement	1,903,293		3,267,808					5,171,101
773	Wastewater Capital Improvement - Debt	3,510,534		5,852,391					9,362,925
774	Wastewater Impact Fees	25,961		758,216					784,177
TOTALS		7,524,022		18,891,306	2,761,664	6,116,915	2,643,686	1,327,083	39,264,676

Category Summary Report
FY 2022-23 to 2027-28
1 - Civic

		Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	TOTALS
PROJECT TITLE									
C19-03	Crane Park Lighting Improvements	47,102		354,509					401,611
C20-02	Repaint Fire Station # 1							100,000	100,000
C20-04	Baldwin Park Fence & Pathway Repair	7,750		81,350					89,100
C21-01	PSPS Emergency Back-Up Power	261,983		22,004					283,987
C22-01	City Hall Relocation - Tenant Improvements	162,785		1,648,156					1,810,941
C22-02	Replace Playground Equipment and Fence at Crane Park			250,000					250,000
C22-03	Jacob Meily Park Drainage Site Survey and Installation of New Turf and Upgrade Irrigation				50,000	75,500			125,500
		479,620		2,356,019	50,000	75,500		100,000	3,061,139
PROJECT FUNDING SOURCES									
101	General Fund	162,785		1,478,684				87,639	1,729,108
420	Go Bonds							12,361	12,361
592	Equipment Replacement Fund			169,472					169,472
733	Civic State of CA OES PSPS Grant	196,487							196,487
733	Prop 68 Grant			170,000					170,000
733	Civic CIP	65,496		22,004					87,500
734	Park Impact Fees	54,852		515,859	50,000	75,500			696,211
		479,620		2,356,019	50,000	75,500		100,000	3,061,139

Crane Park Lighting Improvements

Project No: C19-03

Category: Civic

Project Location: 360 Crane Avenue

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Retrofit existing park light fixtures to LED and upgrade electrical equipment.

EXPENDITURE ACCOUNTS:

Fund: 733 **Dept**: 5010

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3160 - Construction Contract	47,102		348,209					395,311
3170 - Contingency			6,300					6,300
EXPENDITURE TOTALS	47,102		354,509					401,611
FUNDING SOURCES								
223-Skate Park Lighting Fund								0
734-Park Impact Fees	47,102		354,509					401,611
FUNDING TOTALS	47,102		354,509					401,611

Repaint Fire Station # 1

Project No: C20-02

Category: Civic

Project Location: 1480 Main Street

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Repaint Fire Station # 1.

Original Date: FY 21, deferred until FY 22

EXPENDITURE ACCOUNTS:

Fund: 733 **Dept**: 5010

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design							20,000	20,000
3160 - Construction Contract							80,000	80,000
EXPENDITURE TOTALS							100,000	100,000
FUNDING SOURCES								
101-General Fund							87,639	87,639
420-Go Bonds							12,361	12,361
FUNDING TOTALS							100,000	100,000

Baldwin Park Fence & Pathway Repair

Project No: C20-04

Category: Civic

Project Location: 1591 Spring Street

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Remove and replace fence bordering, pathway repair, and minor modifications to entrance.

EXPENDITURE ACCOUNTS:

Fund: 733 **Dept**: 5010

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3160 - Construction Contract	7,750		81,350					89,100
EXPENDITURE TOTALS	7,750		81,350					89,100
FUNDING SOURCES								
734-Park Impact Fees	7,750		81,350					89,100
FUNDING TOTALS	7,750		81,350					89,100

PSPS Emergency Back-Up Power

Project No: C21-01

Category: Civic

Project Location: LSWTP and Mobile Generator

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: To replace the 35 year old generator at the Louis Stralla Water Treatment Plant (LSWTP) and to purchase one 175 KW portable generator that can be used at all critical City facilities which do not have back-up power.

EXPENDITURE ACCOUNTS: Fund: 733 **Dept:** 5010

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	2,020							2,020
3160 - Construction Contract	259,963		22,004					281,967
EXPENDITURE TOTALS	261,983		22,004					283,987
FUNDING SOURCES								
733-Civic CIP	65,496		22,004					87,500
733-Civic State of CA OES PSPS Grant	196,487							196,487
FUNDING TOTALS	261,983		22,004					283,987

City Hall Relocation - Tenant Improvements

Project No: C22-01

Category: Civic

Project Location: 1088 Collage Avenue

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Tenant Improvements for City Hall and Police Department Relocation to Napa Valley College, St. Helena campus.

EXPENDITURE ACCOUNTS:

Fund: 101 **Dept:** 4000

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	147,865		93,990					241,855
3150 - Construction Management			172,000					172,000
3160 - Construction Contract	14,920		1,382,166					1,397,086
EXPENDITURE TOTALS	162,785		1,648,156					1,810,941
FUNDING SOURCES								
101-General Fund	162,785		1,478,684					1,641,469
592-Equipment Replacement Fund			169,472					169,472
FUNDING TOTALS	162,785		1,648,156					1,810,941

Replace Playground Equipment and Fence at Crane Park

Project No: C22-02

Category: Civic

Project Location: Crane Park

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Replacement playground equipment and fence at Crane Park

EXPENDITURE ACCOUNTS: **Fund:** 733 **Dept:** 5010

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3160 - Construction Contract			250,000					250,000
EXPENDITURE TOTALS			250,000					250,000
FUNDING SOURCES								
733-Prop 68 Grant			170,000					170,000
734-Park Impact Fees			80,000					80,000
FUNDING TOTALS			250,000					250,000

Jacob Meily Park Drainage Site Survey and Installation of New Turf and Upgrade Irrigation

Project No: C22-03

Category: Civic

Project Location: Jacob Meily Park St. Helena

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: FY 23 conduct a site survey to address drainage and FY 24 install new turf and upgrade irrigation

Moved out 1 year due to Water Emergency

EXPENDITURE ACCOUNTS: **Fund**: 733 **Dept**: 5010

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design				50,000				50,000
3160 - Construction Contract					75,500			75,500
EXPENDITURE TOTALS				50,000	75,500			125,500
FUNDING SOURCES								
734-Park Impact Fees				50,000	75,500			125,500
FUNDING TOTALS				50,000	75,500			125,500

Category Summary Report
FY 2022-23 to 2027-28
2 - Streets

		Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	TOTALS
PROJECT TITLE									
R18-81	Downtown Sidewalk Improvements	551,569			203,314	900,000	900,000		2,554,883
R19-03	Sulphur Creek Erosion Repair	74,658		70,555					145,213
R19-05	Grayson and South Crane Rehab	190,925			75,000				265,925
R19-07	Silverado Trail Guardrail Replacement	36,501		276,810	248,050				561,361
R21-02	Crosswalk Improvements on Main Street/Highway 29 at Pratt Avenue and Elmhurst Avenue	19,286		259,286					278,572
R21-04	Pope Street Crosswalk Improvements at College Avenue	25,595		244,405					270,000
R22-01	Spring Street Bike Lane Striping			31,000					31,000
R22-79	Pavement Restoration FY22 Design/FY 23 Construction			620,000	500,000				1,120,000
R23-01	Signalization Dowdell Lane and Hwy 29			200,000					200,000
R23-02	"HAWK" Pedestrian Hybrid Flashing Beacon for Hwy 29 at Charter Oak			200,000					200,000
R23-79	Pavement Restoration FY23 Design/FY 24 Construction			126,000	1,050,000				1,176,000
R24-79	Pavement Restoration FY24 Design/FY 25 Construction				132,300	1,102,500			1,234,800
R25-79	Pavement Restoration FY 25 Design/FY 26 Construction					138,915	1,157,625		1,296,540
R26-79	Pavement Restoration FY 26 Design/FY 27 Construction						145,861	1,227,083	1,372,944
		898,534		2,028,056	2,208,664	2,141,415	2,203,486	1,227,083	10,707,238
PROJECT FUNDING SOURCES									
101	General Fund	64,500							64,500
101	General Fund - Measure T/RMRA MOE (Prior Year)	75,000			203,314	297,000	297,000		872,314
230	Gas Tax	159,595		150,405					310,000
230	Gas Tax - RMRA/SB1	108,000		60,000	60,000				228,000
240	Measure T	380,280		895,286	1,697,300	1,241,415	1,303,486	1,227,083	6,744,850
700	Flood Control Funds	74,658		70,555					145,213
741	LMR Cost Share			104,200					104,200
741	Streets Capital Improvement - Grant OBAG III					603,000	603,000		1,206,000
741	Streets Capital Improvement - NVTA			94,000					94,000
741	Streets Capital Improvement			326,800					326,800
741	Streets Capital Improvement - Grant TDA III			50,000					50,000
741	Streets Capital Improvement - HSIP	36,501		276,810	248,050				561,361
		898,534		2,028,056	2,208,664	2,141,415	2,203,486	1,227,083	10,707,238

Downtown Sidewalk Improvements

Project No: R18-81

Category: Streets

Project Location: St. Helena, CA 94574

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: This is a sidewalk improvement project funded by the One Bay Area Grant II program and local funds. The project will replace sidewalks, trees, and implement traffic calming devices on Main Street between Mitchell Drive and Pine Street. Approximately 3,609 linear feet of sidewalk and 17 ADA curb ramps will be replaced.

Phase I construction (1480 Main Street to Adams Street) is anticipated to begin in FY 24 and complete in FY 25.

Phase II and III construction is anticipated for FY 30 and 31.

EXPENDITURE ACCOUNTS:

Fund: 741 **Dept**: 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	548,883			176,000				724,883
3130 - Land & Easements				25,000				25,000
3140 - Legal Services				2,314				2,314
3150 - Construction Management	2,500				75,000	75,000		152,500
3160 - Construction Contract	186				750,000	750,000		1,500,186
3170 - Contingency					75,000	75,000		150,000
EXPENDITURE TOTALS	551,569			203,314	900,000	900,000		2,554,883
FUNDING SOURCES								
101-General Fund	64,500							64,500
101-General Fund - Measure T/RMRA MOE (Prior Year)	75,000			203,314	297,000	297,000		872,314
230-Gas Tax	134,000							134,000
230-Gas Tax - RMRA/SB1	108,000							108,000
240-Measure T	170,069							170,069
741-Streets Capital Improvement - Grant OBAG III					603,000	603,000		1,206,000
741-Streets Capital Improvement - Measure T Loan								0
999-Unidentified								0
FUNDING TOTALS	551,569			203,314	900,000	900,000		2,554,883

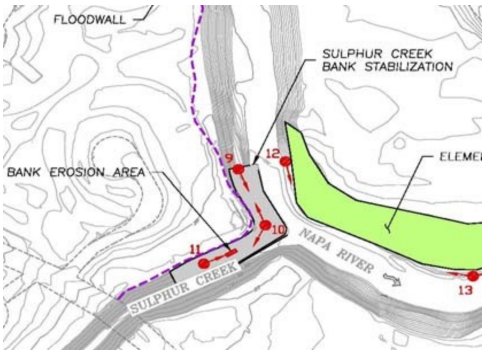
Sulphur Creek Erosion Repair

Project No: R19-03

Category: Streets

Project Location: St. Helena, CA 94574

Responsible Department:



PROJECT PURPOSE & DESCRIPTION: This project will implement bank repairs that were caused during the 16/17 storm year and identified in the 2017 Flood Control Project post-construction monitoring and reporting year. The repairs will be made utilizing funds from the Flood Control Project adaptive management program. The area is located at the base of a mature valley oak, approximately 100 feet upstream of the confluence with the Napa River.

EXPENDITURE ACCOUNTS:

Fund: 741 **Dept**: 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	44,276							44,276
3150 - Construction Management	551							551
3160 - Construction Contract	29,831		70,555					100,386
EXPENDITURE TOTALS	74,658		70,555					145,213
FUNDING SOURCES								
700-Flood Control Funds	74,658		70,555					145,213
FUNDING TOTALS	74,658		70,555					145,213

Grayson and South Crane Rehab

Project No: R19-05

Category: Streets

Project Location: Grayson and South Crane

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: This project will reconstruct Grayson and South Crane Avenues. Accessibility improvements to sidewalks and curb ramps will be included as part of the project whenever applicable.

EXPENDITURE ACCOUNTS:

Fund: 741 **Dept**: 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	190,925							190,925
3160 - Construction Contract				75,000				75,000
EXPENDITURE TOTALS	190,925			75,000				265,925
FUNDING SOURCES								
240-Measure T	190,925			75,000				265,925
741-Streets Capital Improvement - Grant OBAG II								0
FUNDING TOTALS	190,925			75,000				265,925

Silverado Trail Guardrail Replacement

Project No: R19-07

Category: Streets

Project Location: Silverado Trail and Pope Street

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Replace guardrail and pavement markings/striping on Silverado Trail within City Limits.

EXPENDITURE ACCOUNTS:

Fund: 741 **Dept**: 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	31,240		23,760					55,000
3120 - Environmental/Planning			5,000					5,000
3150 - Construction Management			29,250	29,250				58,500
3160 - Construction Contract	5,261		208,800	208,800				422,861
3170 - Contingency			10,000	10,000				20,000
EXPENDITURE TOTALS	36,501		276,810	248,050				561,361
FUNDING SOURCES								
741-Streets Capital Improvement - HSIP	36,501		276,810	248,050				561,361
FUNDING TOTALS	36,501		276,810	248,050				561,361

Crosswalk Improvements on Main Street/Highway 29 at Pratt Avenue and Elmhurst Avenue

Project No: R21-02

Category: Streets

Project Location: Main Street/Highway 29

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: This project will upgrade curb ramps as well as improvement crosswalk markings and signage at Pratt and Elmhurst intersections.

EXPENDITURE ACCOUNTS: **Fund:** 741 **Dept:** 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	19,286		14,286					33,572
3150 - Construction Management			25,000					25,000
3160 - Construction Contract			200,000					200,000
3170 - Contingency			20,000					20,000
EXPENDITURE TOTALS	19,286		259,286					278,572
FUNDING SOURCES								
240-Measure T	19,286		209,286					228,572
741-Streets Capital Improvement - Grant TDA III			50,000					50,000
FUNDING TOTALS	19,286		259,286					278,572

Pope Street Crosswalk Improvements at College Avenue

Project No: R21-04

Category: Streets

Project Location: Pope Street at College Avenue

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Installation of a rectangular rapid flashing beacon system (or equivalent) located on Pope Street at College Avenue, four ADA compliant curb ramps, and continental crosswalk markings on Pope Street and College Avenue.

Installation of the rapid flashing beacon (or equivalent) will provide greater visibility of pedestrians within the crosswalks as vehicles approach. Upgrading curb ramps will improve pedestrian mobility by upgrading curb ramps when crossing Pope Street or College Avenue.

EXPENDITURE ACCOUNTS: Fund: 741 **Dept:** 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	25,595		4,405					30,000
3150 - Construction Management			20,000					20,000
3160 - Construction Contract			200,000					200,000
3170 - Contingency			20,000					20,000
EXPENDITURE TOTALS	25,595		244,405					270,000
FUNDING SOURCES								
230-Gas Tax	25,595		150,405					176,000
741-Streets Capital Improvement - NVTA			94,000					94,000
FUNDING TOTALS	25,595		244,405					270,000

Spring Street Bike Lane Striping

Project No: R22-01

Category: Streets

Project Location: Spring Street from Valley View to Sylvaner (WB)

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Install thermoplastic striping, thermoplastic pavement markings, and bike lane signs for the new bike lanes on Spring Street from Valley View Street to Sylvaner Avenue - westbound

EXPENDITURE ACCOUNTS: **Fund:** 733 **Dept:** 5010

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3160 - Construction Contract			31,000					31,000
EXPENDITURE TOTALS			31,000					31,000
FUNDING SOURCES								
741-Streets Capital Improvement			31,000					31,000
FUNDING TOTALS			31,000					31,000

Pavement Restoration FY22 Design/FY 23 Construction

Project No: R22-79

Category: Streets

Project Location: St. Helena, CA 94574

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Rehabilitate streets throughout the City with various surface treatments (i.e. slurry seal, micro-surface, and overlay). Curb ramp upgrades may be part of projects as needed. Council approved a five-year list of streets on February 13, 2018.

Design FY 22

Construction FY 23

EXPENDITURE ACCOUNTS: **Fund**: 741 **Dept:** 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design			120,000					120,000
3150 - Construction Management			60,000	60,000				120,000
3160 - Construction Contract			400,000	400,000				800,000
3170 - Contingency			40,000	40,000				80,000
EXPENDITURE TOTALS			620,000	500,000				1,120,000
FUNDING SOURCES								
101-General Fund - Measure T/RMRA MOE								0
230-Gas Tax								0
230-Gas Tax - RMRA/SB1			60,000	60,000				120,000
240-Measure T			560,000	440,000				1,000,000
741-Streets Capital Improvement - Measure T Loan								0
FUNDING TOTALS			620,000	500,000				1,120,000

Signalization Dowdell Lane and Hwy 29

Project No: R23-01

Category: Streets

Project Location: Dowdell Lane and Hwy 29

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Manage movement of traffic for the Long Meadow Ranch Project at 1000 Mills Lane, Condition of approval No. 66

NOTES: Farmstead will cost share 23.3% of total project costs

FY 23 Design only.

EXPENDITURE ACCOUNTS: **Fund:** 741 **Dept:** 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design			200,000					200,000
EXPENDITURE TOTALS			200,000					200,000
FUNDING SOURCES								
741-LMR Cost Share			46,600					46,600
741-Streets Capital Improvement			153,400					153,400
FUNDING TOTALS			200,000					200,000

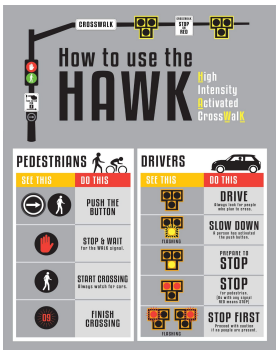
"HAWK" Pedestrian Hybrid Flashing Beacon for Hwy 29 at Charter Oak

Project No: R23-02

Category: Streets

Project Location: Hwy 29 at Charter Oak

Responsible Department:



PROJECT PURPOSE & DESCRIPTION: Mitigate pedestrian hazards for the Long Meadow Ranch Project at 738 Main Street.

EXPENDITURE ACCOUNTS: **Fund:** 741 **Dept:** 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design			200,000					200,000
EXPENDITURE TOTALS			200,000					200,000
FUNDING SOURCES								
741-LMR Cost Share			57,600					57,600
741-Streets Capital Improvement			142,400					142,400
FUNDING TOTALS			200,000					200,000

Pavement Restoration FY23 Design/FY 24 Construction

Project No: R23-79

Category: Streets

Project Location: St. Helena, CA 94574

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Rehabilitate streets throughout the City with various surface treatments (i.e. slurry seal, micro-surface, and overlay). Curb ramp upgrades may be part of projects as needed. Council approved a five-year list of streets on February 13, 2018.

Design FY 23

Construction FY 24

EXPENDITURE ACCOUNTS: **Fund**: 741 **Dept**: 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design			126,000					126,000
3150 - Construction Management				126,000				126,000
3160 - Construction Contract				840,000				840,000
3170 - Contingency				84,000				84,000
EXPENDITURE TOTALS			126,000	1,050,000				1,176,000
FUNDING SOURCES								
101-General Fund - Measure T/RMRA MOE								0
230-Gas Tax								0
230-Gas Tax - RMRA/SB1								0
240-Measure T			126,000	1,050,000				1,176,000
FUNDING TOTALS			126,000	1,050,000				1,176,000

Pavement Restoration FY24 Design/FY 25 Construction

Project No: R24-79

Category: Streets

Project Location: St. Helena, CA 94574

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Rehabilitate streets throughout the City with various surface treatments (i.e. slurry seal, micro-surface, and overlay). Curb ramp upgrades may be part of projects as needed. Council approved a five-year list of streets on February 13, 2018.

Design FY 24

Construction FY 25

EXPENDITURE ACCOUNTS: Fund: 741 **Dept:** 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design				132,300				132,300
3150 - Construction Management					132,300			132,300
3160 - Construction Contract					882,000			882,000
3170 - Contingency					88,200			88,200
EXPENDITURE TOTALS				132,300	1,102,500			1,234,800
FUNDING SOURCES								
101-General Fund - Measure T/RMRA MOE								0
230-Gas Tax								0
230-Gas Tax - RMRA/SB1								0
240-Measure T				132,300	1,102,500			1,234,800
741-Streets Capital Improvement								0
FUNDING TOTALS				132,300	1,102,500			1,234,800

Pavement Restoration FY 25 Design/FY 26 Construction

Project No: R25-79

Category: Streets

Project Location: St. Helena, CA 94574

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Rehabilitate streets throughout the City with various surface treatments (i.e. slurry seal, micro-surface, and overlay). Curb ramp upgrades may be part of projects as needed. Council approved a five-year list of streets on February 13, 2018.

Design FY 25

Construction FY 26

EXPENDITURE ACCOUNTS: Fund: 741 **Dept:** 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design					138,915			138,915
3150 - Construction Management						138,915		138,915
3160 - Construction Contract						926,100		926,100
3170 - Contingency						92,610		92,610
EXPENDITURE TOTALS					138,915	1,157,625		1,296,540
FUNDING SOURCES								
101-General Fund - Measure T/RMRA MOE								0
230-Gas Tax								0
230-Gas Tax - RMRA/SB1								0
240-Measure T					138,915	1,157,625		1,296,540
741-Streets Capital Improvement								0
FUNDING TOTALS					138,915	1,157,625		1,296,540

Pavement Restoration FY 26 Design/FY 27 Construction

Project No: R26-79

Category: Streets

Project Location: St. Helena, CA 84574

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Rehabilitate streets throughout the City with various surface treatments (i.e. slurry seal, micro-surface, and overlay). Curb ramp upgrades may be part of projects as needed. Council approved a five-year list of streets on February 13, 2018.

Design FY 26

Construction FY 27

EXPENDITURE ACCOUNTS: **Fund:** 741 **Dept:** 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design						145,861		145,861
3150 - Construction Management							152,807	152,807
3160 - Construction Contract							972,405	972,405
3170 - Contingency							101,871	101,871
EXPENDITURE TOTALS						145,861	1,227,083	1,372,944
FUNDING SOURCES								
240-Measure T						145,861	1,227,083	1,372,944
FUNDING TOTALS						145,861	1,227,083	1,372,944

Category Summary Report
FY 2022-23 to 2027-28
3 - Water

		Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	TOTALS
PROJECT TITLE									
W-109	Bell Canyon Intake Tower Replacement	289,313			353,000	3,500,000			4,142,313
W-80	Dwyer Road Booster (Pump Station)			900,000					900,000
W18-113	Water System SCADA Improvements				150,000	400,000	250,000		800,000
		289,313		900,000	503,000	3,900,000	250,000		5,842,313
PROJECT FUNDING SOURCES									
763	Water Capital Improvement	289,313		900,000					1,189,313
763	Water Capital Improvement - Debt				503,000	3,900,000	250,000		4,653,000
		289,313		900,000	503,000	3,900,000	250,000		5,842,313

Bell Canyon Intake Tower Replacement

Project No: W-109

Category: Water

Project Location: APN 021-420-019

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Immediate repairs slated are required to be in compliance. Non compliance constitutes a violation of the City's Division of Dam Safety permitted use of Bell Canyon is grounds for enforcement action, for permit termination, revocation and reissuance, or modification; or denial of a permit renewal application by the State of California Department of Water Resources Division of Dam Safety.

EXPENDITURE ACCOUNTS:

Fund: 763 **Dept**: 5030

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	289,313			150,000				439,313
3120 - Environmental/Planning				200,000				200,000
3140 - Legal Services				3,000				3,000
3150 - Construction Management					200,000			200,000
3160 - Construction Contract					3,000,000			3,000,000
3170 - Contingency					300,000			300,000
EXPENDITURE TOTALS	289,313			353,000	3,500,000			4,142,313
FUNDING SOURCES								
763-Water Capital Improvement	289,313							289,313
763-Water Capital Improvement - Debt				353,000	3,500,000			3,853,000
764-Water Impact Fees								0
FUNDING TOTALS	289,313			353,000	3,500,000			4,142,313

Dwyer Road Booster (Pump Station)

Project No: W-80

Category: Water

Project Location: Between St. Helena, Napa, and Calistoga: Dwyer Road

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: This is a shared facility between St. Helena, Napa, and Calistoga for moving water up valley. The project will improve system reliability and increase pressure in the southern end of the system.

The City of Napa will conduct the work on this project with a 10% cost share by the City of St. Helena. Total project cost is estimated at $6,000,000.

EXPENDITURE ACCOUNTS:

Fund: 763 **Dept**: 5030

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design			200,000					200,000
3160 - Construction Contract			700,000					700,000
EXPENDITURE TOTALS			900,000					900,000
FUNDING SOURCES								
763-Water Capital Improvement			900,000					900,000
763-Water Capital Improvement - Debt								0
763-Water Capital Improvement - Grant/Interagency Fund								0
764-Water Impact Fees								0
FUNDING TOTALS			900,000					900,000

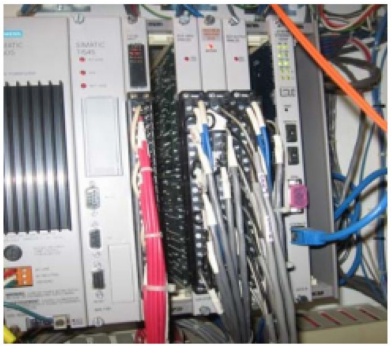
Water System SCADA Improvements

Project No: W18-113

Category: Water

Project Location: Citywide

Responsible Department:



PROJECT PURPOSE & DESCRIPTION: This project will apply power and instrumentation upgrades to integrate the City's water pump stations into Supervisory, Control and Data Acquisition System (SCADA). SCADA is utilized to monitor and control a plant and/or equipment.

EXPENDITURE ACCOUNTS:

Fund: 763 **Dept**: 5030

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design				150,000	150,000			300,000
3160 - Construction Contract					250,000	250,000		500,000
EXPENDITURE TOTALS				150,000	400,000	250,000		800,000
FUNDING SOURCES								
763-Water Capital Improvement								0
763-Water Capital Improvement - Debt				150,000	400,000	250,000		800,000
FUNDING TOTALS				150,000	400,000	250,000		800,000

Category Summary Report
FY 2022-23 to 2027-28
4 - Wastewater

		Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	TOTALS
PROJECT TITLE									
S-52	WWTP Phase 1 Upgrades	5,413,827		13,402,000					18,815,827
S21-01	WWTP Recycled Pipeline and Pump Station	96,153		33,847					130,000
S23-01	Recycled Water - Crane Park Irrigation Infrastructure			50,000					50,000
		5,509,980		13,485,847					18,995,827
PROJECT FUNDING SOURCES									
571	Wastewater Cash Operations Fund Balance			2,684,114					2,684,114
740	Traffic Impact Fees Fund Loan			873,610					873,610
764	Water Impact Fees	70,192		49,708					119,900
773	Wastewater Capital Improvement	1,903,293		3,267,808					5,171,101
773	Wastewater Capital Improvement - Debt	3,510,534		5,852,391					9,362,925
774	Wastewater Impact Fees	25,961		758,216					784,177
		5,509,980		13,485,847					18,995,827

WWTP Phase 1 Upgrades

Project No: S-52

Category: Wastewater

Project Location: 1 Chaix Ln

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Per the State Cease and Desist Order, upgrade the plant to meet compliance requirements by 2021. In addition, to compliance requirements, levee repairs and sludge removal will be incorporated into construction of this project.

Merged into S-52: S-53, S-62, S-66, S18-79.

EXPENDITURE ACCOUNTS:

Fund: 773 **Dept**: 5059

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	1,706,443							1,706,443
3120 - Environmental/Planning	111,850							111,850
3140 - Legal Services	85,000							85,000
3150 - Construction Management			535,085					535,085
3160 - Construction Contract	3,510,534		11,378,056					14,888,590
3170 - Contingency			1,488,859					1,488,859
EXPENDITURE TOTALS	5,413,827		13,402,000					18,815,827
FUNDING SOURCES								
571-Wastewater Cash Operations Fund Balance			2,684,114					2,684,114
740-Traffic Impact Fees Fund Loan			873,610					873,610
773-Wastewater Capital Improvement	1,903,293		3,267,808					5,171,101
773-Wastewater Capital Improvement - Debt	3,510,534		5,852,391					9,362,925
774-Wastewater Impact Fees			724,077					724,077
FUNDING TOTALS	5,413,827		13,402,000					18,815,827

WWTP Recycled Pipeline and Pump Station

Project No: S21-01

Category: Wastewater

Project Location: 1 Chaix Ln St. Helena

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Provide pump station to distribute recycled water to the WWTP spray fields and provide recycled water to City customers via mainline connection

EXPENDITURE ACCOUNTS: **Fund:** 773 **Dept:** 5059

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	96,153		33,847					130,000
EXPENDITURE TOTALS	96,153		33,847					130,000
FUNDING SOURCES								
764-Water Impact Fees	70,192		24,708					94,900
774-Wastewater Impact Fees	25,961		9,139					35,100
FUNDING TOTALS	96,153		33,847					130,000

Recycled Water - Crane Park Irrigation Infrastructure

Project No: S23-01

Category: Wastewater

Project Location: WWTP to Crane Park

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Installation of necessary piping such that the Recycled Water Pipe is delivering recycled water to Crane Park's irrigation infrastructure.

EXPENDITURE ACCOUNTS: **Fund:** 773 **Dept:** 5059

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design			50,000					50,000
EXPENDITURE TOTALS			50,000					50,000
FUNDING SOURCES								
764-Water Impact Fees			25,000					25,000
774-Wastewater Impact Fees			25,000					25,000
FUNDING TOTALS			50,000					50,000

Category Summary Report
FY 2022-23 to 2027-28
5 - Stormwater

		Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	TOTALS
PROJECT TITLE									
R20-01	Mitchell Drive to Sulphur Creek Storm Drain	59,800					190,200		250,000
R20-02	Mills Lane Storm Drain Project	286,775		121,384					408,159
		346,575		121,384			190,200		658,159
PROJECT FUNDING SOURCES									
101	General Fund - Measure T/RMRA MOE	59,800					190,200		250,000
742	Storm Drain Impact Fees	286,775		121,384					408,159
		346,575		121,384			190,200		658,159

Mitchell Drive to Sulphur Creek Storm Drain

Project No: R20-01

Category: Stormwater

Project Location: Mitchell Drive to Sulphur Creek

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: Replace storm drain pipe on Mitchell Drive and slip-line portion of pipe from Mitchell Drive to Sulphur Creek.

EXPENDITURE ACCOUNTS:

Fund: 741 **Dept**: 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design						25,000		25,000
3160 - Construction Contract	59,800					165,200		225,000
EXPENDITURE TOTALS	59,800					190,200		250,000
FUNDING SOURCES								
101-General Fund - Measure T/RMRA MOE	59,800					190,200		250,000
FUNDING TOTALS	59,800					190,200		250,000

Mills Lane Storm Drain Project

Project No: R20-02

Category: Stormwater

Project Location: Mills Lane from State Highway 29 east to the Napa River

Responsible Department:

PROJECT PURPOSE & DESCRIPTION: The Mills Lane Storm Drain improvement project was originally identified by the City and a portion designed in 1974. It was also considered in the City's 2000 Master Plan of Drainage, identified in the City's Storm Drain Impact Fees, as well as the 2005 Highway 29 Specific Plan and the specific plan's program environmental impact report (EIR) prepared in 2003 (SCH #2001082017). The storm drain will be constructed along Mills Lane, which is a City street for most of its length, from its intersection with State Highway 29 east to the Napa River.

EXPENDITURE ACCOUNTS: **Fund:** 741 **Dept:** 5014

EXPENDITURES	Total YTD 05/16/22		2022-23	2023-24	2024-25	2025-26	2026-27	PROJECT TOTAL
3110 - Design	230,059							230,059
3120 - Environmental/Planning	56,716		71,384					128,100
3130 - Land & Easements			50,000					50,000
EXPENDITURE TOTALS	286,775		121,384					408,159
FUNDING SOURCES								
-Other*								0
230-Gas Tax								0
230-Gas Tax - RMRA/SB1								0
742-Storm Drain Impact Fees	286,775		121,384					408,159
999-Unidentified								0
FUNDING TOTALS	286,775		121,384					408,159

Other Funds

Debt Service Funds: Debt service funds are used to accumulate resources for the repayment of general long term obligations. The 1996 GO Bond Fund is used to account for a special voter approved tax to repay the fire station bonds. The St. Helena Drainage Fund is used to accumulate funds to pay for the public benefit portion of certain storm drainage improvements.

Permanent Funds: Permanent funds are used to report resources that are restricted to the extent that earnings, and non-principal, may be used to support City programs. Both Martin and Ryan Funds are trust funds wherein the income from the funds can be used to support the City's library book collection.

Special Revenue Funds: Special revenue funds are used to account for specific revenue sources that are legally restricted to expenditure for particular purposes.

CITY OF ST. HELENA

Fund 209 - HOME Grant

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 407,801**	**$ 407,999**	**$ 404,101**	**$ 404,101**	**$ 392,728**	
HOME - Revenues						
Investment Earnings	198	178	150	150	150	**0.00%**
Grant	-	-	-	-	250,000	0.00%
Transfers In	-	-	-	-	-	0.00%
Total Revenues	**$ 198**	**$ 178**	**$ 150**	**$ 150**	**$ 250,150**	**0.00%**
HOME - Expenditures						
Totals by category						
Services	-	4,075	-	11,523	25,000	0.00%
Total Expenditures	**$ -**	**$ 4,075**	**$ -**	**$ 11,523**	**$ 25,000**	**0.00%**
Surplus/(Deficit)	$ 198	$ (3,897)	$ 150	$ (11,373)	$ 225,150	
Expenditures						
Planning						
21 **Services**	-	4,075	-	11,523	25,000	0.00%
	-	**4,075**	**-**	**11,523**	**25,000**	**0.00%**
Total Expenditures	**$ -**	**$ 4,075**	**$ -**	**$ 11,523**	**$ 25,000**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 617,878***	

209 HOME GRANT: This fund is used for expenditures and grant reimbursements through the HOME Investments Partnership Program from the State of California Department of Housing and Community Development for owner-occupied residential rehabiliation program to assist low-income homeowners whos primary residences are in need of repairs. This program is referred to as the, "Home Grant." The City of St. Helena has an agreement with the Housing Authorigy of the City of Napa for the administration of this grant.

**** The Estimated Fund Balance includes and unavailable Long Term Receivable of $587,929 in Loans Due from Home Owners.***

CITY OF ST. HELENA

Fund 212 - Department of Homeland Security (DHSG)

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Actual	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ -**	**$ 327**	**$ 327**	**$ 327**	**$ 1,127**	
DHSG - Revenues							
Grant		327	-	800	800	400	-50.00%
Transfers In		-	-	-	-	-	0.00%
Total DHSG Revenues		**$ 327**	**$ -**	**$ 800**	**$ 800**	**$ 400**	**0.00%**
DHSG - Expenditures							
Totals by category							
Supplies		-	-	-	-	800	0.00%
Total DHSG Expenditures		**$ -**	**$ -**	**$ -**	**$ -**	**$ 800**	**0.00%**
DHSG Surplus/(Deficit)		$ 327	$ -	$ 800	$ 800	$ (400)	
DHSG Expenditures							
Police Department							
22	**Supplies**	-	-	-	-	400	0.00%
		-	**-**	**-**	**-**	**400**	**0.00%**
Total Expenditures		**$ -**	**$ -**	**$ -**	**$ -**	**$ 400**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 727***	

212 DEPARTMENT OF HOMELAND SECURITY GRANT: This fund is used for expenditures and grant reimbursements for Department of Homeland Security Grant (DHSG) funded programs or projects.

CITY OF ST. HELENA

Fund 213 - Gang Violence Suppression Grant

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 23,415**	**$ 23,687**	**$ 274**	**$ 274**	**$ 276**	
DHSG - Revenues						
Investment Earnings	273	2	-	2	5	100.00%
Grant	-	-	-	-	-	0.00%
Transfers In	-	-	-	-	-	0.00%
Total Gang Violence Suppression Revenues	**$ 273**	**$ 2**	**$ -**	**$ 2**	**$ 5**	**0.00%**
DHSG - Expenditures						
Totals by category						
Supplies	-	23,415	-	-	-	0.00%
Total Gang Violence Suppression Expenditures	**$ -**	**$ 23,415**	**$ -**	**$ -**	**$ -**	**0.00%**
Gang Violence Suppression Surplus/(Deficit)	$ 273	$ (23,413)	$ -	$ 2	$ 5	
Gang Violence Suppression Expenditures						
Police Department						
29 **Transfers**	-	23,415	-	-	-	0.00%
	-	**23,415**	**-**	**-**	**-**	**0.00%**
Total Expenditures	**$ -**	**$ 23,415**	**$ -**	**$ -**	**$ -**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 281***	

213 GANG VIOLENCE SUPPRESSION GRANT: This fund is used for expenditures and grant reimbursements for gang violence suppression.

CITY OF ST. HELENA

Fund 216 - Public Safety Impact Fees Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 485,551**	**$ 582,770**	**$ 596,080**	**$ 596,080**	**$ 620,033**	
Public Safety Impact Fees - Revenues							
Investment Earnings		5,319	3,522	4,500	4,500	4,500	0.00%
Public Safety Impact		92,033	16,527	20,000	20,000	25,000	25.00%
Other Revenue		-	-	-	-	-	0.00%
Transfers In		-	-	-	-	-	0.00%
Total Public Safety Impact Fees Revenues		**$ 97,352**	**$ 20,049**	**$ 24,500**	**$ 24,500**	**$ 29,500**	**20.41%**
Public Safety Impact Fees - Expenditures							
Totals by category							
Services		133	6,739	811	547	264	-67.46%
Transfers		-	-	-	-	-	0.00%
Total Public Safety Impact Fees Expenditures		**$ 133**	**$ 6,739**	**$ 811**	**$ 547**	**$ 264**	**-67.46%**
Public Safety Impact Fees Surplus/(Deficit)		$ 97,219	$ 13,310	$ 23,689	$ 23,953	$ 29,236	
Public Safety Impact Fees Expenditures by Department							
Non Department							
29	**Transfers**	-	-	-	-	-	0.00%
		-	**-**	**-**	**-**	**-**	**0.00%**
Finance							
21	**Services**	133	6,739	811	547	264	-67.46%
		133	**6,739**	**811**	**547**	**264**	**-67.46%**
Public Works							
21	**Services**	-	-	-	-	-	0.00%
		-	**-**	**-**	**-**	**-**	**0.00%**
Total Expenditures		**$ 133**	**$ 6,739**	**$ 811**	**$ 547**	**$ 264**	**-67.46%**
Estimated Fund Balance at June 30, 2023						***$ 649,270***	

216 PUBLIC SAFETY IMPACT FEES: Section 22.5 of the City Code establishes this fund to accumulate revenues from fees on building permits to be used solely for equipment and facilities' costs for Police and the Fire Departments. Vehicles, capital equipment, and building improvements are approved uses.

**Fund Balances reflects a Notes Receivable for $61,333.*

CITY OF ST. HELENA

Fund 218 - Public Library Foundation Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 1,281**	**$ 1,296**	**$ 1,305**	**$ 1,305**	**$ 1,310**	
Public Library Foundation - Revenues						
Investment Earnings	15	9	5	5	5	0.00%
Donations	-	-	-	-	-	0.00%
Contributions from Government	-	-	-	-	-	0.00%
Total Public Library Foundation Revenues	**$ 15**	**$ 9**	**$ 5**	**$ 5**	**$ 5**	**100.00%**
Public Library Foundation - Expenditures						
Totals by category						
Services	-	-	-	-	-	0.00%
Supplies	-	-	-	-	-	0.00%
Capital			1,288	-	1,300	0.00%
Total Public Library Foundation Expenditures	**$ -**	**$ -**	**$ 1,288**	**$ -**	**$ 1,300**	**0.00%**
Public Library Foundation Surplus/(Deficit)	15	9	(1,283)	5	(1,295)	
Public Library Foundation Expenditures by Department						
Library						
21 **Services**	-	-	-	-	-	0.00%
22 **Supplies**	-	-	-	-	-	0.00%
26 **Capital**	-	-	1,288	-	1,288	0.00%
	-	**-**	**1,288**	**-**	**1,288**	**0.00%**
Total Expenditures	**$ -**	**$ -**	**$ 1,288**	**$ -**	**$ 1,288**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 15***	

218 PUBLIC LIBRARY FOUNDATION: This fund is used to account for State Aid for libraries and related expense account for proceeds from the State of California under the California Library Services Act and related expenditures.

CITY OF ST. HELENA

Fund 219 - California Library Services Act Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 2,064**	**$ 2,088**	**$ 2,102**	**$ 2,102**	**$ 1,887**	
California Library Services Act - Revenues							
Investment Earnings		24	14	15	15	15	0.00%
Allocation from Other Agency		-	-	-	-	-	0.00%
Total California Library Services Act Revenues		**$ 24**	**$ 14**	**$ 15**	**$ 15**	**$ 15**	**0.00%**
California Library Services Act - Expenditures							
Totals by category							
Services		-	-	-	-	-	0.00%
Supplies		-	-	1,350	230	1,350	0.00%
Maintenance		-	-	-	-	-	0.00%
Capital		-	-	-	-	-	0.00%
Total California Library Services Act Expenditures		**$ -**	**$ -**	**$ 1,350**	**$ 230**	**$ 1,350**	**0.00%**
California Library Services Act Surplus/(Deficit)		24	14	(1,335)	(215)	(1,335)	
California Library Services Act Expenditures by Department							
Non Department							
29	**Transfers**	-	-	-	-	-	0.00%
		-	**-**	**-**	**-**	**-**	
Library							
21	**Services**	-	-	-	-	-	0.00%
22	**Supplies**	-	-	1,350	-	1,350	0.00%
23	**Maintenance**	-	-	-	-	-	0.00%
26	**Capital**	-	-	-	-	-	0.00%
		-	**-**	**1,350**	**-**	**1,350**	**0.00%**
Total Expenditures		**$ -**	**$ -**	**$ 1,350**	**$ -**	**$ 1,350**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 552***	

219 CLSA LIBRARY RESTORATION: This fund was established as a special revenue fund to account for proceeds from the State of California under the California Library Services Act and related expenditures.

CITY OF ST. HELENA

Fund 222 - Park Bond Act Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 222**	**$ 222**	**$ 222**	**$ 222**	**$ 222**	
Park Bond Act - Revenues							
Investment Earnings		-	-	-	-	-	0.00%
Contributions form Non-Government		-	-	-	-	-	0.00%
Contributions from Government		-	-	-	-	-	0.00%
Total Park Bond Act Revenues		**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Park Bond Act - Expenditures							
Totals by category							
Transfers		-	-	-	-	-	0.00%
Total Park Bond Act Expenditures		**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Park Bond Act Surplus/(Deficit)		-	-	-	-	-	
Park Bond Act Expenditures by Department							
Non Department							
29	**Transfers**	-	-	-	-	-	0.00%
		-	-	-	-	-	
Total Expenditures		**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 222***	

222 PARK DEVELOPMENT: A special revenue fund for Ballpark State Grant, Proposition 12 Park per capita funding, other park grants, and park donations. These funds are restricted for park improvements and development.

CITY OF ST. HELENA

Fund 223 - Skate Park Lighting Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 1,193**	**$ 1**	**$ 1**	**$ 1**	**$ 1**	
Skate Park Lighting - Revenues						
Investment Earnings	7	0	-	-	-	0.00%
Donations	-	-	-	-	-	0.00%
Operating Transfers In	-	-	-	-	-	0.00%
Total Skate Park LIghting Revenues	**$ 7**	**$ 0**	**$ -**	**$ -**	**$ -**	**0.00%**
Skate Park Lighting - Expenditures						
Totals by category						
Transfers	1,200	-	-	-	-	0.00%
Total Skate Park Lighting Expenditures	**$ 1,200**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Skate Park Lighting Surplus/(Deficit)	(1,193)	0	-	-	-	
Skate Park Lighting Expenditures by Department						
Non Department						
29 **Transfers**	1,200	-	-	-	-	0.00%
	1,200	-	-	-	-	
Total Expenditures	**$ 1,200**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 1***	

223 SKATE PARK LIGHTING: This fund is used to account for donations and is used to fund the expenses incurred in mainting the Skate Park lights.

CITY OF ST. HELENA

Fund 224 - COPS Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 84,541**	**$ 154,900**	**$ 234,010**	**$ 234,010**	**$ 253,813**	
COPS - Revenues							
Investment Earnings		1,533	1,441	1,650	1,650	1,550	-6.06%
Other		-	-	-	-	-	0.00%
Allocation from Other Agency		155,948	156,727	150,000	125,553	145,000	-3.33%
Total COPS Revenues		**$ 157,481**	**$ 158,168**	**$ 151,650**	**$ 127,203**	**$ 146,550**	**-7.35%**
COPS - Expenditures							
Totals by category							
Services		57,906	68,826	88,400	84,400	88,400	0.00%
Supplies		29,217	10,231	45,000	23,000	45,000	0.00%
Capital		-	-	-	-	-	0.00%
Transfers		-	-	-	-	-	0.00%
Total COPS Expenditures		**$ 87,122**	**$ 79,057**	**$ 133,400**	**$ 107,400**	**$ 133,400**	**0.00%**
COPS Surplus/(Deficit)		70,359	79,110	18,250	19,803	13,150	
COPS Expenditures by Department							
Non Department							
29	**Transfers**	-	-	-	-	-	0.00%
		-	**-**	**-**	**-**	**-**	**0.00%**
Police							
20	**Salaries & Benefits**	-	-	-	-	-	
21	**Services**	57,906	68,826	88,400	84,400	88,400	0.00%
22	**Supplies**	29,217	10,231	45,000	23,000	45,000	0.00%
26	**Capital**	-	-	-	-	-	0.00%
		87,122	**79,057**	**133,400**	**107,400**	**133,400**	**0.00%**
Total Expenditures		**$ 87,122**	**$ 79,057**	**$ 133,400**	**$ 107,400**	**$ 133,400**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 266,963***	

224 PUBLIC SAFETY (COPS): A special revenue fund used to account for transactions related to supporting front line police officers.

CITY OF ST. HELENA

Fund 225 - State Gas Tax 2105 Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ (0)**	**$ (0)**	**$ 19,294**	**$ 19,294**	**$ 19,444**	
State Gas Tax 2105 - Revenues							
Investment Earnings		176	90	150	150	125	-16.67%
Gas Tax 2105		31,285	30,940	34,379	34,379	37,800	9.95%
Total State Gas Tax 2105 Revenues		**$ 31,461**	**$ 31,030**	**$ 34,529**	**$ 34,529**	**$ 37,925**	**22.22%**
State Gas Tax 2105 - Expenditures							
Totals by category							
Services		-	-	-	-	-	0.00%
Transfers		31,461	11,736	34,379	34,379	37,800	0.00%
Total State Gas Tax 2105 Expenditures		**$ 31,461**	**$ 11,736**	**$ 34,379**	**$ 34,379**	**$ 37,800**	**0.00%**
State Gas Tax 2105 Surplus/(Deficit)		0	19,294	150	150	125	
State Gas Tax 2105 Expenditures by Department							
Non Department							
29	**Transfers**	31,461	11,736	34,379	34,379	37,800	0.00%
		31,461	**11,736**	**34,379**	**34,379**	**37,800**	**0.00%**
Public Works Gas Tax							
21	**Services**	-	-	-	-	-	0.00%
		-	-	-	-	-	**0.00%**
Total Expenditures		**$ 31,461**	**$ 11,736**	**$ 34,379**	**$ 34,379**	**$ 37,800**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 19,569***	

225 STATE GAS TAX 2105: This fund is used to account for proceeds and expenditures of revenue received as a result of Proposition 111. Funds are restricted for use in the same manner as Section 2106/07. In addition, Proposition 111 established a "Maintenance of Effort" provision requiring cities to continue to provide matching street related expenditures from the General Fund equal to the average amount expended over the past 3 years.

CITY OF ST. HELENA

Fund 226 - State Gas Tax 2106 Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 0**	**$ (0)**	**$ 19,024**	**$ 19,024**	**$ 19,124**	
State Gas Tax 2106 - Revenues						
Investment Earnings	109	56	100	100	100	0.00%
Gas Tax 2106	19,413	18,969	20,466	20,466	21,664	5.85%
Total State Gas Tax 2106 Revenues	**$ 19,522**	**$ 19,024**	**$ 20,566**	**$ 20,566**	**$ 21,764**	**5.83%**
State Gas Tax 2106 - Expenditures						
Totals by category						
Transfers	19,523	-	20,466	20,466	21,664	0.00%
Total State Gas Tax 2106 Expenditures	**$ 19,523**	**$ -**	**$ 20,466**	**$ 20,466**	**$ 21,664**	**0.00%**
State Gas Tax 2106 Surplus/(Deficit)	(0)	19,024	100	100	100	
State Gas Tax 2106 Expenditures by Department						
Non Department						
29 **Transfers**	19,523	-	20,466	20,466	21,664	0.00%
	19,523	**-**	**20,466**	**20,466**	**21,664**	**0.00%**
Total Expenditures	**$ 19,523**	**$ -**	**$ 20,466**	**$ 20,466**	**$ 21,664**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 19,224***	

226 STATE GAS TAX 2106: This fund is used to account for proceeds and expenditures of gas tax revenue received under the California Streets and Highways Code Section 2106. Apportionments are based on vehicle registration, assessed valuation, and population. Funds are restricted to any street or road purpose that include: construction, maintenance and allocated overhead related to streets, roads, bridges, culverts, curbs, gutters, sidewalks, traffic signals, right-of-way landscaping, traffic signs, bike paths adjacent to streets and roads.

CITY OF ST. HELENA

Fund 227 - State Gas Tax 2107 Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 36,105**	**$ (5,295)**	**$ 32,957**	**$ 32,957**	**$ 23,481**	
State Gas Tax 2107 - Revenues							
Investment Earnings		5,475	3,975	1,500	1,500	2,500	66.67%
Gas Tax 2107		39,503	41,867	43,723	43,723	51,590	17.99%
Total State Gas Tax 2107 Revenues		**$ 44,979**	**$ 45,842**	**$ 45,223**	**$ 45,223**	**$ 54,090**	**19.61%**
State Gas Tax 2107 - Expenditures							
Totals by category							
Services		10,863	7,591	6,500	10,976	11,000	69.23%
Transfers		75,515	-	43,723	43,723	40,590	0.00%
Total State Gas Tax 2107 Expenditures		**$ 86,378**	**$ 7,591**	**$ 50,223**	**$ 54,699**	**$ 51,590**	**2.72%**
State Gas Tax 2107 Surplus/(Deficit)		(41,399)	38,252	(5,000)	(9,476)	2,500	
State Gas Tax 2107 Expenditures by Department							
Non Department							
29	**Transfers**	75,515	-	43,723	43,723	40,590	0.00%
		75,515	**-**	**43,723**	**43,723**	**40,590**	**0.00%**
Public Works Gas Tax							
21	**Services**	10,863	7,591	6,500	10,976	11,000	69.23%
		10,863	**7,591**	**6,500**	**10,976**	**11,000**	**69.23%**
Total Expenditures		**$ 86,378**	**$ 7,591**	**$ 50,223**	**$ 54,699**	**$ 51,590**	**2.72%**
Estimated Fund Balance at June 30, 2022						***$ 25,981***	

227 STATE GAS TAX 2107: This fund is used to account for proceeds and expenditures of gas tax revenue received under the California Streets and Highways Code Section 2107. Apportionments are based on population. Uses of funds are the same as those listed for fund 225.

CITY OF ST. HELENA

Fund 228 - State Gas Tax 2107.5 Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 9,913**	**$ 6,512**	**$ 8,569**	**$ 8,569**	**$ 8,669**	
State Gas Tax 2107.5 - Revenues						
Investment Earnings	139	57	100	100	100	0.00%
Gas Tax 2107.5	2,000	2,000	2,000	2,000	2,000	0.00%
Total State Gas Tax 2107.5 Revenues	**$ 2,139**	**$ 2,057**	**$ 2,100**	**$ 2,100**	**$ 2,100**	**0.00%**
State Gas Tax 2107.5 - Expenditures						
Totals by category						
Transfers	5,540	-	2,000	2,000	2,000	0.00%
Total State Gas Tax 2107.5 Expenditures	**$ 5,540**	**$ -**	**$ 2,000**	**$ 2,000**	**$ 2,000**	**0.00%**
State Gas Tax 2107.5 Surplus/(Deficit)	(3,401)	2,057	100	100	100	
State Gas Tax 2107.5 Expenditures by Department						
Non Department						
29 **Transfers**	5,540	-	2,000	2,000	2,000	0.00%
	5,540	**-**	**2,000**	**2,000**	**2,000**	**0.00%**
Total Expenditures	**$ 5,540**	**$ -**	**$ 2,000**	**$ 2,000**	**$ 2,000**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 8,769***	

228 STATE GAS TAX 2107.5: This fund is used to account for proceeds and expenditures of gas tax revenue received under the California Streets and Highway Code Section 2107.5. Apportionments are based on population. Funds are restricted for use in covering the costs of street related engineering and administrative expenses. Cities with a population of less than 10,000 may use these funds for acquisition of rights-of-way and construction of its street system.

CITY OF ST. HELENA

Fund 229 - State Gas Tax 2103 Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 17,355**	**$ 22,062**	**$ 63,111**	**$ 63,111**	**$ 63,561**	
State Gas Tax 2103 - Revenues						
Investment Earnings	268	531	450	450	500	11.11%
Gas Tax 2103	20,439	40,517	46,799	46,799	54,560	16.58%
Total State Gas Tax 2103 Revenues	**$ 20,707**	**$ 41,049**	**$ 47,249**	**$ 47,249**	**$ 55,060**	**16.53%**
State Gas Tax 2103 - Expenditures						
Totals by category						
Transfers	16,000	-	46,799	46,799	54,560	0.00%
Total State Gas Tax 2103 Expenditures	**$ 16,000**	**$ -**	**$ 46,799**	**$ 46,799**	**$ 54,560**	**0.00%**
State Gas Tax 2103 Surplus/(Deficit)	$ 4,707	$ 41,049	$ 450	$ 450	$ 500	
State Gas Tax 2103 Expenditures by Department						
Non Department						
29 **Transfers**	16,000	-	46,799	46,799	54,560	0.00%
	16,000	**-**	**46,799**	**46,799**	**54,560**	**0.00%**
Total Expenditures	**$ 16,000**	**$ -**	**$ 46,799**	**$ 46,799**	**$ 54,560**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 64,061***	

229 STATE GAS TAX 2103: Section 2103 was added beginning with the 2010-11 fiscal year to allocate funds from a new motor vehicle fuel excise tax that replaces previous city and county allocations from the Proposition 42 sales tax on gasoline. This is the change known as the "fuel tax swap of 2010." Section 2103 funds are allocated to cities and counties on a per capita basis. Funds must be used for street and highway pavement maintenance, rehabilitation, reconstruction and storm damage repair. For Proposition 42 purposes, maintenance means patching, overlay, and sealing. Reconstruction includes overlay, sealing, or widening of the roadway to bring the roadway width to the desirable minimum pavement width consistent with accepted design standards for local streets and roads. However, widening of a roadway does not include widening for increasing the traffic capacity of a street or road.

CITY OF ST. HELENA

Fund 230 - RMRA Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 7,236**	**$ 15,625**	**$ 128,572**	**$ 128,572**	**$ 128,972**	
RMRA - Revenues						
Investment Earnings	661	362	400	400	450	12.50%
State Loan Repayment	-	-	-	-	-	100.00%
Contributions from Government	115,728	112,585	116,664	116,664	138,364	18.60%
Total RMRA Revenues	**$ 116,389**	**$ 112,947**	**$ 117,064**	**$ 117,064**	**$ 138,814**	**100.00%**
RMRA - Expenditures						
Totals by category						
Transfers	108,000	-	116,664	116,664	138,364	0.00%
Total RMRA Expenditures	**$ 108,000**	**$ -**	**$ 116,664**	**$ 116,664**	**$ 138,364**	**0.00%**
RMRA Surplus/(Deficit)	$ 8,389	$ 112,947	$ 400	$ 400	$ 450	
RMRA Expenditures by Department						
Non Department						
29 **Transfers**	108,000	-	116,664	116,664	138,364	0.00%
	108,000	**-**	**116,664**	**116,664**	**138,364**	**0.00%**
Total Expenditures	**$ 108,000**	**$ -**	**$ 116,664**	**$ 116,664**	**$ 138,364**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 129,422***	

230 RMRA: Section RMRA was added beginning with the 2017-18 fiscal year which includes funds from the following taxes enacted by the Road Repair and Accountability Act of 2017: the 12 cent gasoline excise tax, 20 cent diesel fuel excise tax, transportation improvement fees and transportation loan repayments.

CITY OF ST. HELENA

Fund 235 - Measure A Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 120,268**	**$ 104,313**	**$ 79,906**	**$ 79,906**	**$ 43,568**	
Measure A - Revenues							
Investment Earnings		1,450	606	-	450	250	0.00%
Loan Proceeds		-	-	-	-	-	0.00%
Revenue from County		51,919	-	-	5,025	-	0.00%
Other Revenue		-	-	-	-	-	0.00%
Transfers In		-	-	-	-	-	0.00%
Total Measure A Revenues		**$ 53,369**	**$ 606**	**$ -**	**$ 5,475**	**$ 250**	**0.00%**
Measure A - Expenditures							
Totals by category							
Services		27,239	25,013	112,446	41,814	-	-100.00%
Debt		42,085	-	-	-	-	0.00%
Transfers		-	-	-	-	-	0.00%
Total Measure A Expenditures		**$ 69,324**	**$ 25,013**	**$ 112,446**	**$ 41,814**	**$ -**	**-100.00%**
Measure A Surplus/(Deficit)		(15,955)	(24,407)	(112,446)	(36,338)	250	
Measure A Expenditures by Department							
Non Department							
25	**Debt**	42,085	-	-	-	-	0.00%
29	**Transfers**	-	-	-	-	-	0.00%
		42,085	**-**	**-**	**-**	**-**	0.00%
Finance							
21	**Services**	27,239	25,013	112,446	41,814	-	-100.00%
		27,239	**25,013**	**112,446**	**41,814**	**-**	**-100.00%**
Total Expenditures		**$ 69,324**	**$ 25,013**	**$ 112,446**	**$ 41,814**	**$ -**	**-100.00%**
Estimated Fund Balance at June 30, 2023						***$ 43,818***	

235 MEASURE A: This fund is used to account for proceeds received under Measure A, the countywide flood management plan. This Ordinance imposed a one-half of one percent transaction and use tax in the County and established a Flood Protection and Watershed Improvement Expenditure Plan. Any amendments to the use of this tax as established by the Joint Powers Agreement, resolution 98-118 shall be recommended to the Napa County Flood Control, Water Conservation District, Financial Oversight Committee and the Technical Review Committee for approval. This Tax is scheduled to expire in 2018.

CITY OF ST. HELENA

Fund 237 - Emergency Flood Relief Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 170,394**	**$ 172,379**	**$ 173,536**	**$ 173,536**	**$ 175,036**	
Emergency Flood Relief - Revenues						
Investment Earnings	1,985	1,157	2,000	1,500	1,800	-10.00%
Contributions from Government	-	-	-	-	-	0.00%
Insurance Refund			-	-	-	0.00%
Total Emergency Flood Relief Revenues	**$ 1,985**	**$ 1,157**	**$ 2,000**	**$ 1,500**	**$ 1,800**	**-10.00%**
Emergency Flood Relief - Expenditures						
Totals by category						
Transfers	-	-	-	-	-	0.00%
Total Emergency Flood Relief Expenditures	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Emergency Flood Relief Surplus/(Deficit)	1,985	1,157	2,000	1,500	1,800	
Emergency Flood Relief Expenditures by Department						
Non Department						
29 **Transfers**	-	-	-	-	-	0.00%
	-	-	-	-	-	**0.00%**
Total Expenditures	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 176,836***	

237 EMERGENCY FLOOD RELIEF: This fund is for allocations for disaster assistance relating to flood damage.

CITY OF ST. HELENA

Fund 238 - Training Development Fund Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 16,299**	**$ 24,555**	**$ 26,245**	**$ 26,245**	**$ 23,563**	
Training Development Fund - Revenues						
Post Reimbursement	13,664	3,063	3,500	5,068	3,500	0.00%
Investment Earnings	229	175	250	250	200	-20.00%
Other Revenue	-	-	-	-	-	0.00%
Total Training Development Fund Revenues	**$ 13,893**	**$ 3,239**	**$ 3,750**	**$ 5,318**	**$ 3,700**	**-1.33%**
Training Development Fund - Expenditures						
Totals by category						
Services	5,637	1,549	8,000	8,000	8,000	0.00%
Total Training Development Fund Expenditures	**$ 5,637**	**$ 1,549**	**$ 8,000**	**$ 8,000**	**$ 8,000**	**0.00%**
Training Development Fund Surplus/(Deficit)	8,256	1,690	(4,250)	(2,682)	(4,300)	
Training Development Fund Expenditures by Department						
Police						
21 **Services**	5,637	1,549	8,000	8,000	8,000	0.00%
22 **Supplies**	-	-	-	-	-	0.00%
	5,637	**1,549**	**8,000**	**8,000**	**8,000**	**0.00%**
Total Expenditures	**$ 5,637**	**$ 1,549**	**$ 8,000**	**$ 8,000**	**$ 8,000**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 19,263***	

238 TRAINING DEVELOPMENT: This fund was established to account for proceeds from the Police Officers Standards and Training fund to cover the costs of Police officer's training. Proceeds come in the form of reimbursements.

CITY OF ST. HELENA

Fund 240 - Measure T

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 705,846**	**$ 1,042,070**	**$ 1,997,715**	**$ 1,997,715**	**$ 2,562,479**	
Measure T - Revenues						
Investment Earnings	12,623	9,487	11,000	11,000	15,000	100.00%
Transfers In	326,279	-	-	-	-	
Contributions from Governments	1,106,272	1,120,402	450,000	1,292,353	1,356,970	201.55%
Total Measure T Revenues	**$ 1,445,175**	**$ 1,129,889**	**$ 461,000**	**$ 1,303,353**	**$ 1,371,970**	**100.00%**
Measure T - Expenditures						
Totals by category						
Services	-	-	-	-	-	0.00%
Transfer to other funds	1,108,951	174,244	738,589	738,589	895,286	100.00%
Total Measure T Expenditures	**$ 1,108,951**	**$ 174,244**	**$ 738,589**	**$ 738,589**	**$ 895,286**	**100.00%**
Measure T Surplus/(Deficit)	336,224	955,645	(277,589)	564,764	476,684	
Measure T Expenditures by Department						
Public Works						
21 **Services**	-	-	-	-	-	0.00%
29 Transfers	1,108,951	174,244	738,589	738,589	895,286	413.81%
			738,589	**738,589**	**895,286**	**100.00%**
Total Expenditures	**$ 1,108,951**	**$ 174,244**	**$ 738,589**	**$ 738,589**	**$ 895,286**	**100.00%**

Estimated Fund Balance at June 30, 2023 ***$ 3,039,163***

240 Measure T: At the General Elecetion held on November 6, 2012, the voters of Napa County approved a 1/2-cent sales tax increase known as Measure T, which is to be implemented on July 1, 2018. Measure T funding is to be used for maintenance, reconstruction, and/or rehabilitation of streets, roads, and transportation infrastructure within the public right-of-way including but not limited to: sidewalks, curb and gutters, curb ramps, lighting, traffic signage, striping, and local roadway drainage.

CITY OF ST. HELENA

Fund 241 - Measure T Class I Trails

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 81,119**	**$ 167,604**	**$ 199,937**	**$ 199,937**	**$ 287,937**	
Measure T Class I Trails - Revenues						
Investment Earnings	1,485	1,333	3,000	3,000	3,000	100.00%
Operating Transfer In	85,000	31,000	31,000	85,000	85,000	0.00%
Total Measure T Class I Trails Revenues	**$ 86,485**	**$ 32,333**	**$ 34,000**	**$ 88,000**	**$ 88,000**	**100.00%**
Measure T Class I Trails - Expenditures						
Totals by category						
Services	-	-	-	-	-	100.00%
Total Measure T Class I Trails Expenditures	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**100.00%**
Measure T Class I Trails Surplus/(Deficit)	86,485	32,333	34,000	88,000	88,000	
Measure T Class I Trails Expenditures by Department						
Public Works						
21 **Services**	-	-	-	-	-	0.00%
	-	-	-	-	-	**100.00%**
Total Expenditures	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**100.00%**
Estimated Fund Balance at June 30, 2023					***$ 375,937***	

241 Measure T Class I Trails: This funding is a match from the City that is required in order to receive Measure T funding. Each year the City must dedicate the appropriate funds equal to 6.67% of Measure T revenues earned that year, which will be used for Class 1 Bike Facility projects identified in the adopted Countwide Bicycle Plan.

CITY OF ST. HELENA

Fund 278 - BSCC GRANT (BSCCG)

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 2,531**	**$ 2,560**	**$ 2,577**	**$ 2,577**	**$ 2,627**	
BSCC Grant - Revenues							
Investment Earnings		29	17	50	50	30	100.00%
Grant		-	-	-	-	-	0.00%
Total BSCC Grant Revenues		**$ 29**	**$ 17**	**$ 50**	**$ 50**	**$ 30**	**100.00%**
BSCC Grant - Expenditures							
Totals by category							
Services		-	-	-	-	-	100.00%
Capital		-	-	-	-	-	0.00%
Total BSCC Grant Expenditures		**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**100.00%**
BSCC Grant Surplus/(Deficit)		29	17	50	50	30	
BSCC Grant Expenditures by Department							
Police							
21	**Services**	-	-	-	-	-	0.00%
26	**Capital**	-	-	-	-	-	0.00%
		-	-	-	-	-	**100.00%**
Total Expenditures		**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**100.00%**
Estimated Fund Balance at June 30, 2023						***$ 2,657***	

278 BSCC GRANT: This funding was approved by the State of CA to assist with compliance checks and enforcement efforts of those diverted from the state prison system. The St. Helena Police Department will use these funds to address crime impacts in the community, strengthen the relationship between law enforcement and the community, create greater transparency for the organization, and implement best practices for law enforcement.

CITY OF ST. HELENA

Fund 279 - Asset Forfeiture Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 53,448**	**$ 57,711**	**$ 55,012**	**$ 55,012**	**$ 55,012**	
Asset Forfeiture - Revenues							
Investment Earnings		649	373	500	500	450	-10.00%
Asset Forfeiture		6,224	-	6,000	6,000	6,000	0.00%
Total Asset Forfeiture Revenues		**$ 6,872**	**$ 373**	**$ 6,500**	**$ 6,500**	**$ 6,450**	**-0.77%**
Asset Forfeiture - Expenditures							
Totals by category							
Services		-	-	-	-	-	0.00%
Supplies		2,609	3,072	6,500	6,500	6,500	0.00%
Total Asset Forfeiture Expenditures		**$ 2,609**	**$ 3,072**	**$ 6,500**	**$ 6,500**	**$ 6,500**	**0.00%**
Asset Forfeiture Surplus/(Deficit)		4,263	(2,699)	-	-	(50)	
Asset Forfeiture Expenditures by Department							
Police							
21	**Services**	-	-	-	-	-	0.00%
22	**Supplies**	2,609	3,072	6,500	6,500	6,500	0.00%
		2,609	**3,072**	**6,500**	**6,500**	**6,500**	**0.00%**
Total Expenditures		**$ 2,609**	**$ 3,072**	**$ 6,500**	**$ 6,500**	**$ 6,500**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 54,962***	

279 ASSET FORFEITURE: A special revenue fund for monies from adjudicated crime cases restricted for public safety purposes.

CITY OF ST. HELENA

Fund 283 - Tree City Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 218,846**	**$ 243,326**	**$ 131,666**	**$ 131,666**	**$ 131,666**	
Tree City - Revenues							
Transfers In		122,293	-	-	-	-	0.00%
Total Tree City Revenues		**$ 122,293**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Tree City - Expenditures							
Totals by category							
Salaries & Benefits		19,299	660	-	-	-	0.00%
Services		65,753	-	-	-	-	0.00%
Supplies		347	-	-	-	-	0.00%
Maintenance		12,413	-	-	-	-	0.00%
Capital		-	-	-	-	-	0.00%
Transfers		-	111,000	-	-	131,666	0.00%
Total Tree City Expenditures		**$ 97,813**	**$ 111,660**	**$ -**	**$ -**	**$ 131,666**	**0.00%**
Tree City Surplus/(Deficit)		24,480	(111,660)	-	-	(131,666)	
Tree City Expenditures by Department							
Public Works Tree City							
20	**Salaries & Benefits**	19,299	660	-	-	-	0.00%
21	**Services**	65,753	-	-	-	-	0.00%
22	**Supplies**	347	-	-	-	-	0.00%
23	**Maintenance**	12,413	-	-	-	-	0.00%
26	**Capital**	-	-	-	-	-	0.00%
29	**Transfers**	-	111,000	-	-	131,666	0.00%
		97,813	**111,660**	**-**	**-**	**131,666**	**0.00%**
Total Expenditures		**$ 97,813**	**$ 111,660**	**$ -**	**$ -**	**$ 131,666**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$*** **-**	

283 TREE CITY USA: This fund was established in fiscal year 1996/97 to account for expenditures related to the maintenance and planting of trees located on City right of ways and in parks within the City. The City is seeking a designation from the Arbor Foundation for this effort. Revenue sources include General Fund transfers and private donations.

FY2020-21: No longer utilizing Fund 283, all expenses are included in the General Fund.

CITY OF ST. HELENA

Fund 286 - Bocce Ball Fund Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 93,323**	**$ 53,909**	**$ 52,354**	**$ 52,354**	**$ 62,030**	
Bocce Ball Fund - Revenues							
Recreation Registration		2,400	15,258	40,500	35,545	40,500	0.00%
Contributions from Non-Government		120	120	-	-	-	0.00%
Other		610	-	-	-	-	0.00%
Total Bocce Ball Fund Revenues		**$ 3,130**	**$ 15,378**	**$ 40,500**	**$ 35,545**	**$ 40,500**	**0.00%**
Bocce Ball Fund - Expenditures							
Totals by category							
Salaries & Benefits		36,486	15,580	56,788	22,211	20,437	-64.01%
Services		102	38	1,490	1,358	1,490	0.00%
Supplies		5,910	272	4,400	2,300	4,400	0.00%
Maintenance		46	1,043	1,500	-	1,500	0.00%
Transfers		-	-	-	-	-	0.00%
Total Bocce Ball Fund Expenditures		**$ 42,545**	**$ 16,933**	**$ 64,178**	**$ 25,869**	**$ 27,827**	**64.33%**
Bocce Ball Fund Surplus/(Deficit)		(39,415)	(1,555)	(23,678)	9,676	12,673	
Bocce Ball Fund Expenditures by Department							
Recreation							
20	**Salaries & Benefits**	36,486	15,580	56,788	22,211	20,437	-64.01%
21	**Services**	102	38	1,490	1,358	1,490	0.00%
22	**Supplies**	5,910	272	4,400	2,300	4,400	0.00%
23	**Maintenance**	46	1,043	1,500	-	1,500	0.00%
29	**Transfers**	-	-	-	-	-	
		42,545	**16,933**	**64,178**	**25,869**	**27,827**	**-56.64%**
Total Expenditures		**$ 42,545**	**$ 16,933**	**$ 64,178**	**$ 25,869**	**$ 27,827**	**-56.64%**
Estimated Fund Balance at June 30, 2023						***$ 74,703***	

286 BOCCE BALL LEAGUE: This fund is used to account for the costs of running Bocce league services to the general public on a continuing basis. The intent is to recover costs through user charges and fees. The fund, therefore, is operated in a manner similar to a private business enterprise.

CITY OF ST. HELENA

Fund 287 - Harvest Festival

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 5,134**	**$ 1,874**	**$ 12,770**	**$ 12,770**	**$ 11,301**	
Harvest Festival - Revenues						
Registrations	-	-	-	10	-	0.00%
Operating Tfr In	-	11,200	-	-	-	
Donations	1,900	-	-	160	-	0.00%
Contributions from Non-Govt	-	-	-	-	-	100.00%
Vendor/NonProfit Fees	3,915	-	3,900	5,775	3,900	0.00%
Total Harvest Festival Revenues	**$ 5,815**	**$ 11,200**	**$ 3,900**	**$ 5,945**	**$ 3,900**	**1.19%**
Harvest Festival - Expenditures						
Totals by category						
Services	95	-	100	177	100	0.00%
Supplies	8,980	304	15,000	7,238	15,000	0.00%
Total Harvest Festival Expenditures	**$ 9,075**	**$ 304**	**$ 15,100**	**$ 7,414**	**$ 15,100**	**0.00%**
Harvest Festival Surplus/(Deficit)	(3,260)	10,896	(11,200)	(1,469)	(11,200)	
Harvest Festival Expenditures by Department						
Recreation						
21 **Services**	95	-	100	177	100	0.00%
22 **Supplies**	8,980	304	15,000	7,238	15,000	0.00%
	9,075	**304**	**15,100**	**7,414**	**15,100**	**0.00%**
Total Expenditures	**$ 9,075**	**$ 304**	**$ 15,100**	**$ 7,414**	**$ 15,100**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 101***	

287 HARVEST FESTIVAL: This fund is used to account for revenues from registration fees and donations and is used to fund the expenses incurred in administering the Harvest Festival.

CITY OF ST. HELENA

Fund 288 - Fourth of July

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 14,598**	**$ (772)**	**$ 3,202**	**$ 3,202**	**$ 23,202**	
Fourth of July - Revenues							
Donations		5,863	-	-	-	-	0.00%
Transfers In		26,500	5,600	20,000	20,000	40,000	100.00%
Total Fourth of July Revenues		**$ 32,363**	**$ 5,600**	**$ 20,000**	**$ 20,000**	**$ 40,000**	**100.00%**
Fourth of July - Expenditures							
Totals by category							
Services		40,028	-	-	-	50,000	0.00%
Supplies		7,705	1,626	5,000	-	5,000	0.00%
Total Fourth of July Expenditures		**$ 47,733**	**$ 1,626**	**$ 5,000**	**$ -**	**$ 55,000**	**1000.00%**
Fourth of July Surplus/(Deficit)		(15,370)	3,974	15,000	20,000	(15,000)	
Fourth of July Expenditures by Department							
Recreation							
21	**Services**	40,028	-	-	-	50,000	0.00%
22	**Supplies**	7,705	1,626	5,000	-	5,000	0.00%
		47,733	**1,626**	**5,000**	**-**	**55,000**	**1000.00%**
Total Expenditures		**$ 47,733**	**$ 1,626**	**$ 5,000**	**$ -**	**$ 55,000**	**1000.00%**
Estimated Fund Balance at June 30, 2023						***$ 8,202***	

288 FOURTH OF JULY: This fund is used to account for donations and is used to fund the expenses incurred in administering the Fourth of July fireworks show.

CITY OF ST. HELENA

Fund 289 - Recreation Programs Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 271,050**	**$ 104,431**	**$ 38,385**	**$ 38,385**	**$ 36,050**	
Recreation Programs - Revenues							
Recreation Registration		93,735	375	-	-	-	0.00%
Donations		-	-	-	-	-	0.00%
Contributions from Non Government		22,837	-	-	-	-	0.00%
Other Revenue - Jingle		9,202	-	-	-	-	0.00%
Transfers In		181,300	-	-	-	-	0.00%
Total Recreation Programs Revenues		**$ 307,073**	**$ 375**	**$ -**	**$ -**	**$ -**	**0.00%**
Recreation Programs - Expenditures							
Totals by category							
Salary		328,461	10,421	-	2,335	-	0.00%
Benefits		88,059	-	-	-	-	0.00%
Contracts		45,479	-	-	-	-	0.00%
Dept Supplies/Services		11,693	-	-	-	-	0.00%
Training/Conference		-	-	-	-	-	0.00%
Transfer to other funds		-	56,000	-	-	36,050	100.00%
Total Recreation Programs Expenditures		**$ 473,692**	**$ 66,421**	**$ -**	**$ 2,335**	**$ 36,050**	**100.00%**
Recreation Programs Surplus/(Deficit)		(166,619)	(66,046)	-	(2,335)	(36,050)	
Recreation Programs Expenditures by Department							
Recreation							
20	**Salaries & Benefits**	328,461	10,421	-	2,335	-	0.00%
21	**Services**	88,059	-	-	-	-	0.00%
22	**Supplies**	45,479	-	-	-	-	0.00%
23	**Maintenance**	11,693	-	-	-	-	0.00%
24	**Taxes, Insurance & Contributions**	-	-	-	-	-	0.00%
29	**Transfer to other Funds**	-	56,000	-	-	36,050	100.00%
		473,692	**66,421**	**-**	**2,335**	**36,050**	**100.00%**
Total Expenditures		**$ 473,692**	**$ 66,421**	**$ -**	**$ 2,335**	**$ 36,050**	**100.00%**
Estimated Fund Balance at June 30, 2023						***$ -***	

289 RECREATION PROGRAMS: Used to account for revenues from registration fees or other income from recreation programs and funding the expenses incurred in providing those programs. Council established this fund to monitor the ability of the recreation programs to be self-sustaining excluding costs associated with the Recreation Director.

FY2020-21 - No longer utilizing Fund 280, all expenses are included in the General Fund.

*includes unemployment

CITY OF ST. HELENA

Fund 290 - Tourism Improvement District Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 6,101**	**$ 5,725**	**$ 10,767**	**$ 10,767**	**$ 13,826**	
Tourism Improvement District - Revenues							
Investment Earnings		537	166	450	450	450	0.00%
TID City Admin		3,895	2,342	4,486	7,095	4,999	11.44%
TID Assessment - District		287,130	173,321	357,757	407,843	407,816	13.99%
TID Assessment - Local		97,003	58,555	120,864	137,785	137,776	13.99%
Total Tourism Improvement District Revenues		**$ 388,565**	**$ 234,384**	**$ 483,557**	**$ 553,173**	**$ 551,040**	**13.96%**
Tourism Improvement District - Expenditures							
Totals by category							
Services		383,573	227,370	478,621	545,627	545,591	13.99%
Supplies		-	-	-	-	-	0.00%
Transfers		5,367	1,972	4,486	4,486	4,999	11.44%
Total Tourism Improvement District Expenditures		**$ 388,940**	**$ 229,342**	**$ 483,107**	**$ 550,113**	**$ 550,590**	**140.07%**
Tourism Improvement District Surplus/(Deficit)		(375)	5,041	450	3,059	450	
Tourism Improvement District Expenditures by Department							
Non Department							
21	**Services**	383,573	227,370	478,621	545,627	545,591	13.99%
22	**Supplies**	-	-	-	-	-	0.00%
29	**Transfers**	5,367	1,972	4,486	4,486	4,999	11.44%
		388,940	**229,342**	**483,107**	**550,113**	**550,590**	**13.97%**
Total Expenditures		**$ 388,940**	**$ 229,342**	**$ 483,107**	**$ 550,113**	**$ 550,590**	**13.97%**
Estimated Fund Balance at June 30, 2023						***$ 14,276***	

290 TOURISM IMPROVEMENT DISTRICT (TID): The Napa Valley Tourism Improvement District was created in 2010 and is funded through an assessment on hotel room nights implemented and collected by lodging businesses throughout Napa Valley. The intent of the assessment is to support local activities and products that promote, support and enhance locally based tourism and hospitality efforts. Revenue is currently 2% of taxable room rent. These funds are directed by the Tourism Board created by the County MOU.

CITY OF ST. HELENA

Fund 291 - SB-1186 State Fees

		FY 18/19 Actual	FY 19/20 Actual	FY 20/21 Budget	FY 20/21 Estimated Year End	FY 21/22 Adopted	FY 21/22 Budget % Change
Beginning Fund Balance (July 1)		**$ 12,732**	**$ 13,049**	**$ 15,186**	**$ 15,186**	**$ 17,786**	
SB1186 State Fees - Revenues							
Investment Earnings		161	113	100	100	120	20.00%
Other Revenue		160	111	250	-	100	-60.00%
Other State Revenue		2,720	1,912	4,000	2,500	2,500	-37.50%
Total SB1186 State Fees Revenues		**$ 3,041**	**$ 2,136**	**$ 4,350**	**$ 2,600**	**$ 2,720**	**-37.47%**
SB1186 State Fees - Expenditures							
Totals by category							
Services		2,724	-	5,000	-	5,000	0.00%
Transfer to Other Funds		-	-	-	-	-	0.00%
Total SB1186 State Fees Expenditures		**$ 2,724**	**$ -**	**$ 5,000**	**$ -**	**$ 5,000**	**0.00%**
SB1186 State Fees Surplus/(Deficit)		317	2,136	(650)	2,600	(2,280)	
SB1186 State Fees Expenditures by Department							
Non Department							
29	**Transfers**	-	-	-	-	-	0.00%
		-	**-**	**-**	**-**	**-**	**0.00%**
Planning							
21	**Services**	2,724	-	5,000	-	5,000	0.00%
		2,724	**-**	**5,000**	**-**	**5,000**	**0.00%**
Total Expenditures		**$ 2,724**	**$ -**	**$ 5,000**	**$ -**	**$ 5,000**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 15,506***	

291 SB-1186 STATE FEES: Effective January 1, 2013 an additional state fee of $1 was added to the business license application and renewel fee for, (1) the purpose of increasing disability access and compliance with construction-related accessibility requirements, and (2) developing educational resources for businesses to facilitate compliance with federal and state disability laws. Effective January 1, 2019, the fee was increased to $4.

CITY OF ST. HELENA

Fund 295 - N.O.A.A.

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Proposed	FY 22/23 Proposed Change
Beginning Fund Balance (July 1)	**$ 2,648**	**$ 2,679**	**$ 2,697**	**$ 2,697**	**$ 2,717**	
N.O.A.A. - Revenues						
Investment Earnings	31	18	30	20	25	-16.67%
Government Contribution	-	-	-	-	-	0.00%
Total N.O.A.A. Revenues	**$ 31**	**$ 18**	**$ 30**	**$ 20**	**$ 25**	**0.00%**
N.O.A.A. - Expenditures						
Totals by category						
Contracts	-	-	-	-	-	0.00%
Total N.O.A.A. Expenditures	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
N.O.A.A. Surplus/(Deficit)	31	18	30	20	25	
N.O.A.A. Expenditures by Department						
Non Department						
21 **Services**	-	-	-	-	-	0.00%
	-	**-**	**-**	**-**	**-**	**0.00%**
Total Expenditures	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 2,742***	

295 N.O.A.A.: This fund is used to account for monies used toward the compensation and mitigation project known as the Northern Napa River Tributary Stream Surveys.

CITY OF ST. HELENA

Fund 329 - Stabo Trust

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 36,482**	**$ 36,907**	**$ 37,155**	**$ 37,155**	**$ 37,555**	
Stabo Trust - Revenues							
Investment Earnings		425	248	400	400	400	0.00%
Total Stabo Trust Revenues		**$ 425**	**$ 248**	**$ 400**	**$ 400**	**$ 400**	**0.00%**
Stabo Trust - Expenditures							
Totals by category							
Services		-	-	-	-	-	0.00%
Total Stabo Trust Expenditures		**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Stabo Trust Surplus/(Deficit)		425	248	400	400	400	
Stabo Trust Expenditures by Department							
Non Department							
21	**Services**	-	-	-	-	-	0.00%
		-	-	-	-	-	**0.00%**
Total Expenditures		**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 37,955***	

329 STABO TRUST: This fund is used to account for proceeds and expenditures toward the upkeep of Stabo Park located on Hunt Avenue.

CITY OF ST. HELENA

Fund 375 - Murray Trust

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 46,317**	**$ 14,307**	**$ 16,160**	**$ 16,160**	**$ 17,985**	
Murray Trust - Revenues						
Investment Earnings	369	103	75	75	100	33.33%
Other Revenue	2,188	1,750	1,750	1,750	1,750	**0.00%**
Total Murray Trust Revenues	**$ 2,557**	**$ 1,853**	**$ 1,825**	**$ 1,825**	**$ 1,850**	**0.00%**
Murray Trust - Expenditures						
Totals by category						
Services	34,566	-	4,860	-	4,860	0.00%
Total Murray Trust Expenditures	**$ 34,566**	**$ -**	**$ 4,860**	**$ -**	**$ 4,860**	**0.00%**
Murray Trust Surplus/(Deficit)	(32,009)	1,853	(3,035)	1,825	(3,010)	
Murray Trust Expenditures by Department						
Police						
22 **Supplies**	34,566	-	4,860	-	4,860	0.00%
	34,566	**-**	**4,860**	**-**	**4,860**	**0.00%**
Total Expenditures	**$ 34,566**	**$ -**	**$ 4,860**	**$ -**	**$ 4,860**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 14,975***	

375 MADELINE MURRAY TRUST FUND: The proceeds from a non-expendable trust established in 2000 as a bequest from the Madeline Murray, through the Madeline Murray and Bertha Tranah Foundation. The funds are to be used for new equipment purchases for the Police Department. The Fire Department also receives funding from the Madeline Murray and Bertha Tranah Foundation but it is given directly to the St. Helena Volunteer Fire Department, a non-profit organization.

CITY OF ST. HELENA

Fund 380 - Friends and Foundation

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 7,843**	**$ 13,353**	**$ 38,565**	**$ 41,469**	**$ 45,859**	
Friends and Foundation - Revenues						
Investment Earnings	-	-	-	-	-	0.00%
Donations	-	-	-	-	-	0.00%
Other Revenue	134,250	133,950	138,600	143,600	137,400	-0.87%
Total Friends and Foundation Revenues	**$ 134,250**	**$ 133,950**	**$ 138,600**	**$ 143,600**	**$ 137,400**	**2.58%**
Friends and Foundation - Expenditures						
Totals by category						
Salaries & Benefits	62,789	55,511	62,196	62,196	66,388	6.74%
Services	-	-	-	3,600	2,400	0.00%
Supplies	65,951	53,228	73,500	73,415	75,500	2.72%
Taxes, Insurance & Contributions	-	-	-	-	-	0.00%
Capital	-	-	-	-	-	0.00%
Total Friends and Foundation Expenditures	**$ 128,740**	**$ 108,738**	**$ 135,696**	**$ 139,211**	**$ 144,288**	**6.33%**
Friends and Foundation Surplus/(Deficit)	5,510	25,212	2,904	4,389	(6,888)	
Friends and Foundation Expenditures by Department						
Library						
20 **Salaries & Benefits**	62,789	55,511	62,196	62,196	66,388	6.74%
21 **Services**	-	-	-	3,600	2,400	0.00%
22 **Supplies**	65,951	53,228	73,500	73,415	75,500	2.72%
24 **Taxes, Insurance & Contributions**	-	-	-	-	-	0.00%
26 **Capital**	-	-	-	-	-	0.00%
	128,740	**108,738**	**135,696**	**139,211**	**144,288**	**6.33%**
Total Expenditures	**$ 128,740**	**$ 108,738**	**$ 135,696**	**$ 139,211**	**$ 144,288**	**6.33%**
Estimated Fund Balance at June 30, 2023					***$ 45,859***	

380 FRIENDS & FOUNDATION, ST. HELENA PUBLIC LIBRARY: This fund is used to account for grant monies to the St. Helena Public Library from the 501(c)(3) support organization FFSHPL and related expenditures.

CITY OF ST. HELENA

Fund 381 - Ryan Trust Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 12,866**	**$ 13,746**	**$ 13,646**	**$ 13,646**	**$ 13,846**	
Ryan Trust - Revenues						
Investment Earnings	880	(100)	250	200	250	0.00%
Total Ryan Trust Revenues	**$ 880**	**$ (100)**	**$ 250**	**$ 200**	**$ 250**	**0.00%**
Ryan Trust - Expenditures						
Totals by category						
Supplies	-	-	-	-	-	0.00%
Maintenance	-	-	-	-	-	0.00%
Total Ryan Trust Expenditures	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Ryan Trust Surplus/(Deficit)	880	(100)	250	200	250	
Ryan Trust Expenditures by Department						
Library						
22 **Supplies**	-	-	-	-	-	0.00%
23 **Maintenance**	-	-	-	-	-	0.00%
	-	-	-	-	-	**0.00%**
Total Expenditures	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 14,096***	

381 RYAN LIBRARY TRUST: A non-expendable trust established in 1941 as a bequest from the estate of John Joseph Ryan. Only earnings on investments may be appropriated for library expenditures. Expenditures are restricted to any and all costs of maintaining the library. The fund represents the earnings on investments that are available for expenditure. The non-expendable principal is held separately.

CITY OF ST. HELENA

Fund 382 - Martin Trust Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 24,510**	**$ 25,503**	**$ 24,927**	**$ 24,927**	**$ 24,577**	
Martin Trust - Revenues						
Investment Earnings	993	75	300	300	450	50.00%
Total Martin Trust Revenues	**$ 993**	**$ 75**	**$ 300**	**$ 300**	**$ 450**	**50.00%**
Martin Trust - Expenditures						
Totals by category						
Services	-	-	-	-	-	0.00%
Supplies	-	-	-	-	-	0.00%
Maintenance	-	650	700	650	700	0
Total Martin Trust Expenditures	**$ -**	**$ 650**	**$ 700**	**$ 650**	**$ 700**	**0.00%**
Martin Trust Surplus/(Deficit)	993	(575)	(400)	(350)	(250)	
Martin Trust Expenditures by Department						
Library						
21 **Services**	-	-	-	-	-	0.00%
22 **Supplies**	-	-	-	-	-	0.00%
23 **Maintenance**	-	650	700	650	700	0.00%
	-	**650**	**700**	**650**	**700**	**0.00%**
Total Expenditures	**$ -**	**$ 650**	**$ 700**	**$ 650**	**$ 700**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 24,327***	

382 MARTIN ESTATE TRUST: This is a non-expendable trust established in 1968 as a bequest from the estate of Leo H. Martin. Only earnings on investments may be appropriated for library expenses. These expenses are limited to extending, improving and enlarging the selection of books on California and Napa County History. The fund represents the earnings on investments that are available for expenditure. The non-expendable principal is held separately.

CITY OF ST. HELENA

Fund 384 - Tweed Trust Enhancement Distribution Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 695,114**	**$ 719,288**	**$ 743,752**	**$ 743,752**	**$ 767,108**	
Tweed Trust - Revenues							
Investment Earnings		8,346	5,003	7,500	7,500	7,500	0.00%
Donations		72	-	-	-	-	0.00%
Rental Income		47,512	55,356	47,500	55,356	55,356	16.54%
Transfers In		-	-	-	-	-	0.00%
Total Tweed Trust Revenues		**$ 55,930**	**$ 60,359**	**$ 55,000**	**$ 62,856**	**$ 62,856**	**14.28%**
Tweed Trust - Expenditures							
Totals by category							
Supplies		31,756	35,896	50,000	39,500	50,000	0.00%
Total Tweed Trust Expenditures		**$ 31,756**	**$ 35,896**	**$ 50,000**	**$ 39,500**	**$ 50,000**	**0.00%**
Tweed Trust Surplus/(Deficit)		24,174	24,464	5,000	23,356	12,856	
Tweed Trust Expenditures by Department							
Library							
20	**Salaries & Benefits**	-	-	-	-	-	0.00%
21	**Services**	-	-	-	-	-	0.00%
22	**Supplies**	31,756	35,896	50,000	39,500	50,000	0.00%
23	**Maintenance**	-	-	-	-		0.00%
24	**Taxes, Insurances & Contributions**	-	-	-	-	-	0.00%
26	**Capital**	-	-	-	-	-	0.00%
29	**Transfers**	-	-	-	-	-	0.00%
		31,756	**35,896**	**50,000**	**39,500**	**50,000**	**0.00%**
Total Expenditures		**$ 31,756**	**$ 35,896**	**$ 50,000**	**$ 39,500**	**$ 50,000**	**0.00%**

Estimated Fund Balance at June 30, 2023 ***$ 779,964***

384 TWEED TRUST – Established in 2000 as a bequest from Dorothy L. Tweed and governed by the Wood Endowment administrative framework. All funding requests are approved by the Library Board of Trustees and the City Council.

ENHANCEMENT DISTRIBUTION: This fund allows for an expendable annual 4% distribution from the net fair market value of assets. Funds are to benefit the library and provide support to enhance and enrich basic library services and to enhance the interior of the building.

CONSTRUCTION: Up to twenty percent (20%) of principal is reserved for building construction.

ENHANCEMENT: This is the non-expendable 80% allocation of principal, from which the 4% annual distribution of interest is drawn for Fund 384.

CITY OF ST. HELENA

Fund 420 - 1996 GO Bonds Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 12,073**	**$ 12,361**	**$ 12,361**	**$ 12,361**	**$ 12,361**	
1996 GO Bonds - Revenues						
Property Tax	-	-	-	-	-	0.00%
Investment Earnings	-	-	-	-	-	0.00%
Homeowner Property Tax	-	-	-	-	-	0.00%
Total 1996 GO Bonds Revenues	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
1996 GO Bonds - Expenditures						
Totals by category						
Services	-	-	-	-	-	0.00%
Debt	(288)	-	-	-	-	0.00%
Total 1996 GO Bonds Expenditures	**$ (288)**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
1996 GO Bonds Surplus/(Deficit)	288	-	-	-	-	
1996 GO Bonds Expenditures by Department						
Non Department						
21 **Services**	-	-	-	-	-	0.00%
25 **Debt**	(288)	-	-	-	-	0.00%
	(288)	-	-	-	-	**0.00%**
Total Expenditures	**$ (288)**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 12,361***	

420 FIRE STATION BONDS: Long-term debt associated with the issuance of the 1996 Fire Station Bonds is accounted for here. The bonds, bearing interest from 5.0% to 6.75% are payable January 1 and July 1 of each year through the year 2016. Principle matures each July 1 at $65,000 to $175,000 from 1998 through 2016. Debt service is financed through property tax assessments on all property within the City. Rates are established annually by the City Council and must be certified to Napa County Auditor/Controller by August 15 of each year.

CITY OF ST. HELENA

Fund 443 - South St. Helena Drainage Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 29,126**	**$ 29,469**	**$ 29,669**	**$ 29,669**	**$ 29,969**	
South St. Helena Drainage - Revenues						
Investment Earnings	343	200	350	300	325	0.00%
Storm Drain Reimbursement	-	-	-	-	-	0.00%
Total South St. Helena Drainage Revenues	**$ 343**	**$ 200**	**$ 350**	**$ 300**	**$ 325**	**0.00%**
South St. Helena Drainage - Expenditures						
Totals by category						
	-	-	-	-	-	0.00%
Total South St. Helena Drainage Expenditures	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
South St. Helena Drainage Surplus/(Deficit)	343	200	350	300	325	
South St. Helena Drainage Expenditures by Department						
	-	-	-	-	-	0.00%
	-	**-**	**-**	**-**	**-**	**0.00%**
Total Expenditures	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**0.00%**
Estimated Fund Balance at June 30, 2023					***$ 30,294***	

443 SOUTH S.H. DRAINAGE ASSESSMENT: Fund established to account for a Subdivision Reimbursement Agreement wherein a developer installed an oversized storm drain improvement and the City by ordinance 89-11 set up the South St. Helena Drainage Improvement Benefit Zone to assess property owners benefiting from the improvement to pay the costs associated with the storm drain. As fees are collected, they are remitted to the developer less 1.5% for City administrative costs.

CITY OF ST. HELENA

Fund 582 - City Garage Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ (26,196)**	**$ (45,440)**	**$ (71,879)**	**$ (71,879)**	**$ (30,273)**	
City Garage - Revenues							
Investment Earnings		87	163	-	-	-	100.00%
Charges for Services		245,563	248,576	306,500	306,500	316,590	3.29%
Operating Transfers In		-	-	-	-	-	0.00%
Total City Garage Revenues		**$ 245,650**	**$ 248,739**	**$ 306,500**	**$ 306,500**	**$ 316,590**	**3.29%**
City Garage - Expenditures							
Totals by category							
Salaries & Benefits		110,381	93,504	100,404	110,381	113,389	12.93%
Services		160	648	2,700	160	4,000	48.15%
Supplies		154,353	181,008	149,300	154,353	199,100	33.36%
Maintenance		-	-	-	-	-	0.00%
Taxes, Insurance & Contributions		-	17	-	-	100	100.00%
Capital Equipment		-	-	-	-	-	0.00%
Transfer		-	-	-	-	-	0
Total City Garage Expenditures		**$ 264,894**	**$ 275,178**	**$ 252,404**	**$ 264,894**	**$ 316,589**	**25.43%**
City Garage Surplus/(Deficit)		(19,244)	(26,439)	54,096	41,606	1	
City Garage Expenditures by Department							
Public Works Garage							
20	**Salaries & Benefits**	110,381	93,504	114,097	114,097	113,389	-0.62%
21	**Services**	160	648	4,000	-	4,000	0.00%
22	**Supplies**	154,353	181,008	162,100	162,100	199,100	22.83%
23	**Maintenance**	-	-	-	-	-	0.00%
24	**Taxes, Insurance & Contributions**	-	17	-	108	100	100.00%
26	**Capital**	-	-	-	-	-	0.00%
29	**Transfers**	-	-				
		264,894	**275,178**	**280,197**	**276,305**	**316,589**	**15.05%**
Total Expenditures		**$ 264,894**	**$ 275,178**	**$ 280,197**	**$ 276,305**	**$ 316,589**	**12.99%**
Estimated Fund Balance at June 30, 2023						***$ (30,272)***	

582 CITY GARAGE: This Internal Service Fund is designed to account for the total costs of maintaining the fleet of vehicles and automotive equipment owned by the city. Costs are allocated to the various user departments based on time and materials used within those user departments.

CITY OF ST. HELENA

Fund 592 - Equipment Replacement Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 175,965**	**$ 225,965**	**$ 225,965**	**$ 225,965**	**$ 255,241**	
Equipment Replacement - Revenues							
Contributions		-	50,000	-	-	-	0.00%
Operating Transfers In		50,000	50,000	50,000	50,000	458,000	0.00%
Total Equipment Replacement Revenues		**$ 50,000**	**$ 100,000**	**$ 50,000**	**$ 50,000**	**$ 458,000**	**0.00%**
Equipment Replacement- Expenditures							
Totals by category							
Services		-	-	-	-	204,000	100.00%
Supplies		-	-	20,724	20,724	65,669	216.87%
Capital		-	-	-	-	333,000	100.00%
Transfer to Other Funds		-	100,000	-	-	-	0.00%
Total Equipment Replacement Expenditures		**$ -**	**$ 100,000**	**$ 20,724**	**$ 20,724**	**$ 602,669**	**2808.07%**
Equipment Replacement Surplus/(Deficit)		50,000	-	29,276	29,276	(144,669)	
Equipment Replacement Expenditures by Department							
Non Department							
21	**Services**	-	-	-	-	204,000	100.00%
22	**Supplies**	-	-	20,724	20,724	65,669	216.87%
29	**Transfers to Other Funds**	-	100,000	-	-	-	0.00%
		-	**100,000**	**20,724**	**20,724**	**65,669**	**216.87%**
Police							
26	**Capital**	-	-	-	-	250,000	100.00%
		-	**-**	**-**	**-**	**250,000**	**100.00%**
Parks & Trees							
26	**Capital**	-	-	-	-	83,000	100.00%
		-	**-**	**-**	**-**	**83,000**	**100.00%**
Total Expenditures		**$ -**	**$ 100,000**	**$ 20,724**	**$ 20,724**	**$ 398,669**	**1823.71%**
Estimated Fund Balance at June 30, 2023						***$ 110,572***	

592 EQUIPMENT REPLACEMENT: This Internal Service Fund is designed to account for the total costs and set aside funds for future replacement costs of equipment. This includes vehicles, computers and other equipment as identified. As equipment is identified, user departments will be allocated costs based on estimated costs of replacement.

CITY OF ST. HELENA

Fund 593 - Fire Department Capital Equipment Replacement Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 212,590**	**$ 224,748**	**$ 599,454**	**$ 599,454**	**$ 132,994**	
Equipment Replacement - Revenues						
Emergency Relief	12,621	235,271	-	123,621	-	0.00%
Donations	-	-	-	221,229	-	0.00%
Sale of Capital Assets	-	160,000	-	600	-	0.00%
Total Equipment Replacement Revenues	**$ 12,621**	**$ 395,271**	**$ -**	**$ 345,450**	**$ -**	**0.00%**
Equipment Replacement- Expenditures						
Totals by category						
Supplies	463	20,565	59,435	-	40,000	-32.70%
Capital	-	-	811,911	811,911	-	0.00%
Transfer to other funds	-	-	-	-	-	0.00%
Total Equipment Replacement Expenditures	**$ 463**	**$ 20,565**	**$ 871,346**	**$ 811,911**	**$ 40,000**	**0.00%**
Equipment Replacement Surplus/(Deficit)	12,158	374,706	(871,346)	(466,460)	(40,000)	
Equipment Replacement Expenditures by Department						
Fire						
22 **Supplies**	463	20,565	59,435	-	40,000	-32.70%
26 **Capital**	-	-	811,911	811,911	-	-100.00%
29 **Transfer to Other Funds**	-	-	-	-	-	0.00%
	463	**20,565**	**871,346**	**811,911**	**40,000**	**0.00%**
Total Expenditures	**$ 463**	**$ 20,565**	**$ 871,346**	**$ 811,911**	**$ 40,000**	**-95.41%**
Estimated Fund Balance at June 30, 2023					***$ 92,994***	

593 EQUIPMENT REPLACEMENT: This Fund is designated to account for funds set aside for future replacement costs and maintenance costs of Fire Department equipment. Funds included are received from Fire Department Strike Team Revenues received for use of fire apparatuses and equipment during Strike Teams Incidents.

CITY OF ST. HELENA

Fund 700 - Flood Control Capital Reserve Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 115,009**	**$ 132,759**	**$ 119,445**	**$ 119,445**	**$ 141,045**	
Flood Control Capital Reserve - Revenues						
Investment Earnings	1,657	1,171	1,600	1,600	1,500	-6.25%
Transfers From Other Funds	50,000	50,000	50,000	50,000	50,000	0.00%
Total Flood Control Capital Reserve Revenues	**$ 51,657**	**$ 51,171**	**$ 51,600**	**$ 51,600**	**$ 51,500**	**-0.19%**
Civic Impact Fees - Expenditures						
Totals by category						
Transfers	33,908	36,473	-	-	-	0.00%
Contracts	-	28,012	30,000	30,000	30,000	0.00%
Total Flood Control Capital Reserve Expenditures	**$ 33,908**	**$ 64,485**	**$ 30,000**	**$ 30,000**	**$ 30,000**	**0.00%**
Flood Control Capital Reserve Surplus/(Deficit)	17,750	(13,314)	21,600	21,600	21,500	
Flood Control Capital Reserve Expenditures by Department						
Non Department						
29 **Transfers**	33,908	36,473	-	-	-	0.00%
	33,908	**36,473**	**-**	**-**	**-**	**0.00%**
Public Works						
21 Contracts	**-**	**28,012**	**30,000**	**30,000**	**30,000**	**0.00%**
	-	**28,012**	**30,000**	**30,000**	**30,000**	**0.00%**
Total Expenditures	**$ 33,908**	**$ 64,485**	**$ 30,000**	**$ 30,000**	**$ 30,000**	**0.00%**

Estimated Fund Balance at June 30, 2023 ***$ 162,545***

700 Flood Control Capital Reserve: This fund is used for the expansion, major repair or replacement of the flood control facilities located near Vineyard Valley Mobile Home Park. This fund is required to be in effect for the term of the City's State Revolving Loan, which is currently through 2028.

CITY OF ST. HELENA

Fund 713 - Civic Impact Fees Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Adopted	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 599,889**	**$ 716,815**	**$ 732,657**	**$ 732,657**	**$ 762,041**	
Civic Impact Fees - Revenues							
Investment Earnings		7,395	4,828	7,000	5,000	6,000	-14.29%
Civic Impact Fees		137,549	19,879	20,000	26,337	20,000	0.00%
Total Civic Impact Fees Revenues		**$ 144,944**	**$ 24,707**	**$ 27,000**	**$ 31,337**	**$ 26,000**	**5.23%**
Civic Impact Fees - Expenditures							
Totals by category							
Services		28,018	8,865	4,510	1,953	1,295	-71.29%
Transfers		-	-	-	-	-	0.00%
Total Civic Impact Fees Expenditures		**$ 28,018**	**$ 8,865**	**$ 4,510**	**$ 1,953**	**$ 1,295**	**0.00%**
Civic Impact Fees Surplus/(Deficit)		116,926	15,842	22,490	29,384	24,705	
Civic Impact Fees Expenditures by Department							
Non Department							
21	**Services**	25,731	-	-	-	-	
29	**Transfers**	-	-	-	-	-	0.00%
		25,731	**-**	**-**	**-**	**-**	**0.00%**
Finance							
21	**Services**	133	6,739	1,842	547	1,295	-29.70%
		133	**6,739**	**1,842**	**547**	**1,295**	**-29.70%**
Planning							
21	**Services**	292	292	364	-	-	-100.00%
		292	**292**	**364**	**-**	**-**	**-100.00%**
Parks & Recreation							
21	**Services**	-	-	-	-	-	100.00%
		-	**-**	**-**	**-**	**-**	**100.00%**
Public Works							
21	**Services**	1,862	1,834	2,304	1,406	-	100.00%
		1,862	**1,834**	**2,304**	**1,406**	**-**	**100.00%**
Total Expenditures		**$ 28,018**	**$ 8,865**	**$ 4,510**	**$ 1,953**	**$ 1,295**	**-71.29%**
Estimated Fund Balance at June 30, 2023						***$ 786,746***	

713 CIVIC IMPACT: This fund is used to accumulate restricted funds from new development's proportionate share of the depreciated replacement cost of a range of facility types including City Hall, corporation yard facilities, as well as library and recreation facilities.

CITY OF ST. HELENA

Fund 733 - Civic Capital Improvement Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Adopted	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 732,045**	**$ 1,239,132**	**$ 284,589**	**$ 284,589**	**$ 768,960**	
Civic Capital Fees - Revenues							
Contributions from Government		440,948	7,265	-	525,068	674,928	0.00%
Operating Transfers In		974,745	149,581	514,659	514,659	2,204,765	328.39%
Total Civic Capital Improvement Revenues		**$ 1,415,693**	**$ 156,846**	**$ 514,659**	**$ 1,039,727**	**$ 2,879,693**	**1736.00%**
Civic Capital - Expenditures							
Totals by category							
Services		908,606	581,389	1,054,137	555,356	2,519,019	138.97%
Transfers		-	530,000	-	-	-	0.00%
Total Civic Capital Improvement Expenditures		**$ 908,606**	**$ 1,111,389**	**$ 1,054,137**	**$ 555,356**	**$ 2,519,019**	**0.00%**
Civic Capital Improvement Surplus/(Deficit)		507,087	(954,543)	(539,478)	484,371	360,674	
Civic Capital Improvement Expenditures by Department							
Non Department							
21	**Services**	-	-	-		-	
29	**Transfers**	-	530,000	-	-	-	0.00%
		-	**530,000**	**-**	**-**	**-**	**0.00%**
Fire							
21	**Services**	-	-	-	-	**163,000**	**100.00%**
		-	-	-	-	**163,000**	**100.00%**
Public Works							
21	**Services**	**908,606**	**581,389**	**1,054,137**	**555,356**	**2,356,019**	**100.00%**
		908,606	**581,389**	**1,054,137**	**555,356**	**2,356,019**	**100.00%**
Total Expenditures		**$ 908,606**	**$ 1,111,389**	**$ 1,054,137**	**$ 555,356**	**$ 2,519,019**	**138.97%**
Estimated Fund Balance at June 30, 2023						***$ 1,129,634***	

733 CIVIC CAPITAL IMPROVEMENT: This fund is used to account for transactions as they relate to Civic Capital Improvement Projects (CIP).

CITY OF ST. HELENA

Fund 734 - Park Impact Fees Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 960,234**	**$ 979,598**	**$ 987,541**	**$ 987,541**	**$ 1,083,198**	
Park Impact Fees - Revenues							
Investment Earnings		13,163	6,647	13,000	8,000	8,000	-38.46%
Park Impact Fees		411,746	54,379	40,000	87,657	75,000	87.50%
Total Park Impact Fees Revenues		**$ 424,909**	**$ 61,025**	**$ 53,000**	**$ 95,657**	**$ 83,000**	**56.60%**
Park Impact Fees - Expenditures							
Totals by category							
Services		-	-	125,000	-	125,000	0.00%
Transfer to other funds		405,545	53,082	-	-	515,659	0
Total Park Impact Fees Expenditures		**$ 405,545**	**$ 53,082**	**$ 125,000**	**$ -**	**$ 640,659**	**0.00%**
Park Impact Fees Surplus/(Deficit)		19,364	7,944	(72,000)	95,657	(557,659)	
Park Impact Fees Expenditures by Department							
Parks & Recreation							
21	**Services**	-	-	125,000	-	125,000	100.00%
		-	**-**	**125,000**	**-**	**125,000**	**100.00%**
Public Works							
21	**Services**	-	-	-	-	-	0.00%
99	**Transfers Out**	405,545	53,082	514,659	-	515,659	
		405,545	**53,082**	**-**	**-**	**515,659**	**0.00%**
Total Expenditures		**$ 405,545**	**$ 53,082**	**$ 125,000**	**$ -**	**$ 640,659**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 525,539***	

734 PARK IMPACT: This fund is used to accumulate funds from new or proposed residential development solely for park land acquisition and park improvements.

CITY OF ST. HELENA

Fund 740 - Traffic Mitigation Impact Fees Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 2,470,739**	**$ 2,716,013**	**$ 2,719,289**	**$ 2,719,289**	**$ 2,770,742**	
Traffic Mitigation Impact Fees - Revenues						
Investment Earnings	29,496	18,312	30,000	20,000	25,000	-16.67%
Transfers In	-	-				
Traffic Mitigation Impact Fees	215,912	33,414	40,000	32,000	40,000	0.00%
Total Traffic Mitigation Impact Fees Revenues	**$ 245,408**	**$ 51,726**	**$ 70,000**	**$ 52,000**	**$ 65,000**	**-7.14%**
Traffic Mitigation Impact Fees - Expenditures						
Totals by category						
Services	133	6,739	1,843	547	1,296	-29.68%
Transfers	-	41,711	873,610	-	873,610	0.00%
Total Traffic Mitigation Impact Fees Expenditures	**$ 133**	**$ 48,450**	**$ 875,453**	**$ 547**	**$ 874,906**	**-0.06%**
Traffic Mitigation Impact Fees Surplus/(Deficit)	245,275	3,276	(805,453)	51,453	(809,906)	
Traffic Mitigation Impact Fees Expenditures by Department						
Non Department						
29 **Transfers**	-	41,711	873,610	-	873,610	0.00%
	-	**41,711**	**873,610**	**-**	**873,610**	**0.00%**
Finance						
21 **Services**	**133**	**6,739**	**1,843**	**547**	**1,296**	**-29.68%**
	133	**6,739**	**1,843**	**547**	**1,296**	**-29.68%**
Total Expenditures	**$ 133**	**$ 48,450**	**$ 875,453**	**$ 547**	**$ 874,906**	**-0.06%**
Estimated Fund Balance at June 30, 2023					***$ 1,960,837***	

740 TRAFFIC MITIGATION IMPACT: This fund is used to accumulate funds from new or proposed development to finance circulation improvements to reduce the impacts of traffic generated by new development within the City.

CITY OF ST. HELENA

Fund 741 - Streets Capital Improvement Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Adopted	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 839,673**	**$ 728,065**	**$ 523,079**	**$ 523,079**	**$ (414,023)**	
Streets Capital - Revenues							
Contributions from Government		82,598	4,558	-	10,044	326,810	0.00%
Other Revenue		-	-	-	-	104,200	
Operating Transfers In		1,762,086	253,388	379,189	379,189	2,105,435	455.25%
Total Streets Capital Improvement Revenues		**$ 1,844,684**	**$ 257,946**	**$ 379,189**	**$ 389,233**	**$ 2,536,445**	**883.32%**
Streets Capital - Expenditures							
Totals by category							
Services		1,630,012	462,932	12,058,194	1,326,335	2,078,056	-82.77%
Transfers		326,279	-	-	-	-	0.00%
Total Streets Capital Improvement Expenditures		**$ 1,956,291**	**$ 462,932**	**$ 12,058,194**	**$ 1,326,335**	**$ 2,078,056**	**0.00%**
Streets Capital Improvement Surplus/(Deficit)		(111,607)	(204,986)	(11,679,005)	(937,103)	458,389	
Streets Capital Improvement Expenditures by Department							
Non Department							
21	**Services**	-	-	-		-	
29	**Transfers**	326,279	-	-	-	-	0.00%
		326,279	**-**	**-**	**-**	**-**	**0.00%**
Public Works							
21	**Services**	**1,630,012**	**462,932**	**12,058,194**	**1,326,335**	**2,078,056**	**100.00%**
		1,630,012	**462,932**	**12,058,194**	**1,326,335**	**2,078,056**	**100.00%**
Total Expenditures		**$ 1,956,291**	**$ 462,932**	**$ 12,058,194**	**$ 1,326,335**	**$ 2,078,056**	**-82.77%**
Estimated Fund Balance at June 30, 2023						***$ 44,366***	

**** FY22 Streets CIP currently has $4.6 million in unidentified funding.***

741 STREETS CAPITAL IMPROVEMENT: This fund is used to account for transactions as they relate to Streets Capital Improvement Projects (CIP).

CITY OF ST. HELENA

Fund 742 - Storm Drain Impact Fees Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 696,347**	**$ 790,009**	**$ 798,379**	**$ 798,379**	**$ 668,689**	
Storm Drain Impact Fees - Revenues							
Investment Earnings		8,430	5,311	7,500	6,000	7,000	-6.67%
Storm Drain Impact Fees		85,365	9,797	10,000	14,857	15,000	50.00%
Operating Transfers In		-	-	-	-	-	0.00%
Total Storm Drain Impact Fees Revenues		**$ 93,795**	**$ 15,109**	**$ 17,500**	**$ 20,857**	**$ 22,000**	**25.71%**
Storm Drain Impact Fees - Expenditures							
Totals by category							
Services		133	6,739	811	547	264	-67.46%
Transfers		-	-	700,000	150,000	-	0.00%
Total Storm Drain Impact Fees Expenditures		**$ 133**	**$ 6,739**	**$ 700,811**	**$ 150,547**	**$ 264**	**-99.96%**
Storm Drain Impact Fees Surplus/(Deficit)		93,662	8,370	(683,311)	(129,690)	21,736	
Storm Drain Impact Fees Expenditures by Department							
Non Department							
29	**Transfers**	-	-	700,000	150,000	-	0.00%
		-	**-**	**700,000**	**150,000**	**-**	**0.00%**
Finance							
21	**Services**	**133**	**6,739**	**811**	**547**	**264**	**-67.46%**
		133	**6,739**	**811**	**547**	**264**	**-67.46%**
Total Expenditures		**$ 133**	**$ 6,739**	**$ 700,811**	**$ 150,547**	**$ 264**	**-99.96%**
Estimated Fund Balance at June 30, 2023						***$ 690,425***	

742 STORM DRAIN IMPROVEMENT: This fund is used to accumulate funds from new development's proportionate share of planned drainage system improvements.

CITY OF ST. HELENA

Fund 745 - Parking In-Lieu Fees Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 570,971**	**$ 577,623**	**$ 644,520**	**$ 644,520**	**$ 656,020**	
Parking In-Lieu Fees - Revenues							
Investment Earnings		6,652	3,896	6,800	4,500	5,000	-26.47%
Parking In-Lieu Fees		-	63,000	-	7,000	-	0.00%
Total Parking In-Lieu Fees Revenues		**$ 6,652**	**$ 66,896**	**$ 6,800**	**$ 11,500**	**$ 5,000**	**-26.47%**
Parking In-Lieu Fees - Expenditures							
Totals by category							
Services		-	-	-	-	30,000	0.00%
Total Parking In-Lieu Fees Expenditures		**$ -**	**$ -**	**$ -**	**$ -**	**$ 30,000**	**0.00%**
Parking In-Lieu Fees Surplus/(Deficit)		6,652	66,896	6,800	11,500	(25,000)	
Parking In-Lieu Fees Expenditures by Department							
City Attorney							
21	**Services**	-	-	-	-	-	0.00%
Planning						-	
21	**Services**			60,000	-	30,000	
		-	-	-	-	**30,000**	**0.00%**
Total Expenditures		**$ -**	**$ -**	**$ -**	**$ -**	**$ 30,000**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 631,020***	

745 PARKING IN-LIEU: This fund is used to accumulate funds from new or proposed development to pay for all or a portion of the costs associate with providing new parking facilities in the City.

CITY OF ST. HELENA

Fund 751 - Affordable Housing Fees Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 1,736,628**	**$ 1,660,182**	**$ 159,050**	**$ 159,050**	**$ 1,505,338**	
Affordable Housing Fees - Revenues							
Investment Earnings		5,651	3,077	9,200	5,500	5,000	-45.65%
Affordable Housing Fees		317,631	106,784	60,000	55,000	60,000	0.00%
Other Revenue		2,292	295	295	1,433,693	295	0.00%
Operating Transfers In		-	-	-	-	-	0.00%
Total Affordable Housing Fees Revenues		**$ 325,574**	**$ 110,155**	**$ 69,495**	**$ 1,494,193**	**$ 65,295**	**-6.04%**
Affordable Housing Fees - Expenditures							
Totals by category							
Services		37,349	25,243	95,000	90,000	25,000	-73.68%
Supplies		-	-	-	-	-	0.00%
Taxes, Insurance & Contributions		364,671	1,586,044	25,000	57,905	-	-100.00%
Capital		-	-	-	-	-	0.00%
Transfers		-	-	-	-	-	0.00%
Total Affordable Housing Fees Expenditures		**$ 402,020**	**$ 1,611,287**	**$ 120,000**	**$ 147,905**	**$ 25,000**	**-79.17%**
Affordable Housing Fees Surplus/(Deficit)		(76,447)	(1,501,132)	(50,505)	1,346,288	40,295	
Affordable Housing Fees Expenditures by Department							
Non Department							
21	**Services**	16,877	405	-		-	0.00%
22	**Supplies**	-	-	-	-	-	0.00%
24	**Taxes, Insurance & Contributions**	354,671	1,586,044	-	32,905	-	0.00%
26	**Capital**	-	-	-	-	-	0.00%
29	**Transfers**	-	-	-	-	-	0.00%
		371,548	**1,586,448**	**-**	**32,905**	**-**	**0.00%**
City Council							
24	**Taxes, Insurance & Contributions**	10,000	-	25,000	25,000	-	100.00%
		10,000	-	25,000	25,000	-	100.00%
City Attorney							
21	**Services**	20,472	9,952	25,000	20,000	25,000	0.00%
22	**Supplies**	-	177	-	-	-	0.00%
		20,472	**10,129**	**25,000**	**20,000**	**25,000**	0.00%
Planning & Building							
21	**Services**	-	14,887	70,000	70,000	-	0.00%
		-	14,887	70,000	70,000	-	100.00%
Total Expenditures		**$ 402,020**	**$ 1,611,464**	**$ 120,000**	**$ 147,905**	**$ 25,000**	**-79.17%**

Estimated Fund Balance at June 30, 2023 ***$ 1,545,633***

****Current revenue projections are based on projected FY23 development activity and may fluctuate.***

751 AFFORDABLE HOUSING: This fund is used to accumulate funds from new or proposed development in order to defray the costs of providing affordable housing in the City.

****The Estimated Fund Balance includes and unavailable Long Term Receivables of $1,249,684 in Loans and Interest.***

CITY OF ST. HELENA

Fund 752 - Measure E Budget Worksheet

	FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)	**$ 122,987**	**$ 329,062**	**$ 445,956**	**$ 445,956**	**$ 707,813**	
Measure E - Revenues						
Investment Earnings	1,654	1,358	2,000	2,000	2,000	0.00%
Transient Tax Penalty	193	1,191	-	1,360	-	0.00%
1% Assessment	204,228	129,758	194,016	296,900	285,718	47.27%
Total Measure E Revenues	**$ 206,075**	**$ 132,307**	**$ 196,016**	**$ 300,260**	**$ 287,718**	**46.78%**
Measure E - Expenditures						
Totals by category						
Services	-	15,414	-	19,216	-	0.00%
Taxes, Insurance & Contributions	-	-	20,000	19,187	10,000	-50.00%
Total Measure E Expenditures	**$ -**	**$ 15,414**	**$ 20,000**	**$ 38,403**	**$ 10,000**	**0.00%**
Measure E Surplus/(Deficit)	206,075	116,894	176,016	261,857	277,718	
Measure E Expenditures by Department						
City Council						
24 **Taxes, Insurance & Contributions**	-	-	20,000	19,187	10,000	-50.00%
	-	**-**	**20,000**	**19,187**	**10,000**	**0.00%**
Planning & Building						
21 **Services**	-	15,414	-	19,216	-	0.00%
	-	15,414	-	19,216	-	0.00%
Total Expenditures	**$ -**	**$ 15,414**	**$ 20,000**	**$ 38,403**	**$ 10,000**	**-50.00%**
Estimated Fund Balance at June 30, 2023					***$ 985,531***	

752 MEASURE E: All revenues from the increase would be restricted to programs and services for affordable and workforce housing. Affordable and workforce housing services and programs funded from Measure E include activities to increase, improve and preserve the City's supply of rental and for-sale housing for households earning up to 120% of area median income.

**** The Estimated Fund Balance includes and unavailable Long Term Receivable of $160,000 for an Affordable Housing Loan.***

CITY OF ST. HELENA

Fund 763 - Water Capital Improvement Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Adopted	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 3,346,707**	**$ 2,082,563**	**$ (409,124)**	**$ (409,124)**	**$ 92,020**	
Water Capital - Revenues							
Contributions from Government		-	1,657,953	-	537,000	-	0.00%
Operating Transfers In		534,779	540,000	210,144	214,144	-	-100.00%
Total Water Capital Improvement Revenues		**$ 534,779**	**$ 2,197,953**	**$ 210,144**	**$ 751,144**	**$ -**	**-100.00%**
Water Capital - Expenditures							
Totals by category							
Services		1,798,923	4,689,640	1,945,068	250,000	900,000	-53.73%
Transfers		-	-	-	-	-	0.00%
Total Water Capital Improvement Expenditures		**$ 1,798,923**	**$ 4,689,640**	**$ 1,945,068**	**$ 250,000**	**$ 900,000**	**0.00%**
Water Capital Improvement Surplus/(Deficit)		(1,264,144)	(2,491,686)	(1,734,924)	501,144	(900,000)	
Water Capital Improvement Expenditures by Department							
Non Department							
21	**Services**	-	-	-	-	-	
29	**Transfers**	-	-	-	-	-	0.00%
		-	**-**	**-**	**-**	**-**	**0.00%**
Public Works							
21	**Services**	**1,798,923**	**4,689,640**	**1,945,068**	**250,000**	**900,000**	**100.00%**
		1,798,923	**4,689,640**	**1,945,068**	**250,000**	**900,000**	**100.00%**
Total Expenditures		**$ 1,798,923**	**$ 4,689,640**	**$ 1,945,068**	**$ 250,000**	**$ 900,000**	**-53.73%**
Estimated Fund Balance at June 30, 2023						***$ (807,980)***	

763 WATER CAPITAL IMPROVEMENT: This fund is used to account for transactions as they relate to Water Capital Improvement Projects (CIP).

CITY OF ST. HELENA

Fund 764 - Water Impact Fees Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 177,492**	**$ 318,715**	**$ 348,739**	**$ 348,739**	**$ 177,869**	
Water Impact Fees - Revenues							
Investment Earnings		3,128	2,360	4,000	3,500	4,000	0.00%
Other Revenue		17,796	18,164	18,164	18,164	18,164	0.00%
Water Impact Fees		120,433	16,238	15,000	18,158	15,000	0.00%
Transfers In		-	-	-	-	-	0.00%
Total Water Impact Fees Revenues		**$ 141,357**	**$ 36,762**	**$ 37,164**	**$ 39,822**	**$ 37,164**	**0.00%**
Water Impact Fees - Expenditures							
Totals by category							
Transfers		-	-	210,144	210,144	-	0.00%
Services		133	6,739	1,843	547	1,296	0.00%
Total Water Impact Fees Expenditures		**$ 133**	**$ 6,739**	**$ 211,987**	**$ 210,691**	**$ 1,296**	**0.00%**
Water Impact Fees Surplus/(Deficit)		141,224	30,023	(174,823)	(170,869)	35,868	
Water Impact Fees Expenditures by Department							
Non Department							
29	**Transfers**	-	-	210,144	210,144	-	0.00%
		-	**-**	**210,144**	**210,144**	**-**	**0.00%**
Finance							
21	**Services**	133	6,739	1,843	547	1,296	0.00%
		133	**6,739**	**1,843**	**547**	**1,296**	**0.00%**
Total Expenditures		**$ 133**	**$ 6,739**	**$ 211,987**	**$ 210,691**	**$ 1,296**	**0.00%**
Estimated Fund Balance at June 30, 2023						***$ 213,738***	

764 WATER IMPACT: This fund is used to accumulate funds from new or proposed development to pay for water system capital improvements needed to support new development.

CITY OF ST. HELENA

Fund 763 - Wastewater Capital Improvement Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Adopted	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 1,443,506**	**$ 1,698,199**	**$ 1,500,341**	**$ 1,500,341**	**$ 1,642,632**	
Wastewater Capital - Revenues							
Contributions from Government		-	-	-	-	-	0.00%
Debt Service		-	-	9,362,925	3,510,534	5,852,391	
Operating Transfers In		604,254	520,000	3,137,527	474,505	2,545,465	-18.87%
Total Wastewater Capital Improvement Revenues		**$ 604,254**	**$ 520,000**	**$ 12,500,452**	**$ 3,985,039**	**$ 8,397,856**	**1514.97%**
Wastewater Capital - Expenditures							
Totals by category							
Services		349,560	717,858	14,600,341	3,842,748	13,436,139	-7.97%
Transfers		-	-	-	-	-	0.00%
Total Wastewater Capital Improvement Expenditures		**$ 349,560**	**$ 717,858**	**$ 14,600,341**	**$ 3,842,748**	**$ 13,436,139**	**0.00%**
Wastewater Capital Improvement Surplus/(Deficit)		254,694	(197,858)	(2,099,889)	142,291	(5,038,283)	
Wastewater Capital Improvement Expenditures by Department							
Non Department							
21	**Services**	-	-	-	-	-	
29	**Transfers**	-	-	-	-	-	0.00%
		-	**-**	**-**	**-**	**-**	**0.00%**
Public Works							
21	**Services**	**349,560**	**717,858**	**14,600,341**	**3,842,748**	**13,436,139**	**100.00%**
		349,560	**717,858**	**14,600,341**	**3,842,748**	**13,436,139**	**100.00%**
Total Expenditures		**$ 349,560**	**$ 717,858**	**$ 14,600,341**	**$ 3,842,748**	**$ 13,436,139**	**-7.97%**

Estimated Fund Balance at June 30, 2023 ***$ (3,395,651)***

****Additional Funds will be approved Operating Transfers In from Wastewater Operations and General Fund as the Wastewater Treatment Plant Project progresses.***

763 WASTEWATER CAPITAL IMPROVEMENT: This fund is used to account for transactions as they relate to Wastewater Capital Improvement Projects (CIP).

CITY OF ST. HELENA

Fund 774 - Wastewater Impact Fees Budget Worksheet

		FY 19/20 Actual	FY 20/21 Actual	FY 21/22 Budget	FY 21/22 Estimated Year End	FY 22/23 Adopted	FY 22/23 Budget % Change
Beginning Fund Balance (July 1)		**$ 612,734**	**$ 650,977**	**$ 657,735**	**$ 657,735**	**$ 605,841**	
Wastewater Impact Fees - Revenues							
Investment Earnings		7,275	4,342	7,500	5,500	7,500	0.00%
Other Revenue		2,918	2,918	2,918	2,918	2,918	0.00%
Wastewater Impact Fees		30,433	6,237	44,000	5,500	6,500	-85.23%
Total Wastewater Impact Fees Revenues		**$ 40,626**	**$ 13,497**	**$ 54,418**	**$ 13,918**	**$ 16,918**	**-68.91%**
Wastewater Impact Fees - Expenditures							
Totals by category							
Services		133	6,739	1,843	547	1,296	-29.68%
Capital Equipment		2,250	-	-	-	-	0.00%
Transfer to other funds		-	-	709,677	65,265	677,260	0.00%
Total Wastewater Impact Fees Expenditures		**$ 2,383**	**$ 6,739**	**$ 711,520**	**$ 65,812**	**$ 678,556**	**-4.63%**
Wastewater Impact Fees Surplus/(Deficit)		38,243	6,759	(657,102)	(51,894)	(661,638)	
Wastewater Impact Fees Expenditures by Department							
Non Department							
29	**Transfers**	-	-	709,677	65,265	677,260	0.00%
		-	-	**709,677**	**65,265**	**677,260**	**0.00%**
Finance							
21	**Services**	133	6,739	1,843	547	1,296	-29.68%
		133	**6,739**	**1,843**	**547**	**1,296**	
Public Works							
26	**Capital**	2,250	-	-	-	-	0.00%
		2,250	-	-	-	-	**0.00%**
Total Expenditures		**$ 2,383**	**$ 6,739**	**$ 711,520**	**$ 65,812**	**$ 678,556**	**-4.63%**
Estimated Fund Balance at June 30, 2023						***$ (55,796)***	

774 WASTEWATER IMPACT: This fund was established to account for the costs of constructing and improving the wastewater treatment plant and sewer collection system in order to support new development.

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ST. HELENA
General Plan Update 2040

June 2019

acknowledgements

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Geoff Ellsworth, Mayor
Paul Dohring, Vice-Mayor
Mary Koberstein
Anna Chouteau
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Consultant Staff
Victor Carniglia, Municipal Resources Group

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The 2015 - 2023 Housing Element is a separate stand alone document, which consists of:

- Housing Element Update 2015-2023: Goals, Policies, and Eight-Year Action Plan
- Housing Element Update 2015-2023: Housing Needs Assessment

A copy is available on the City's website.

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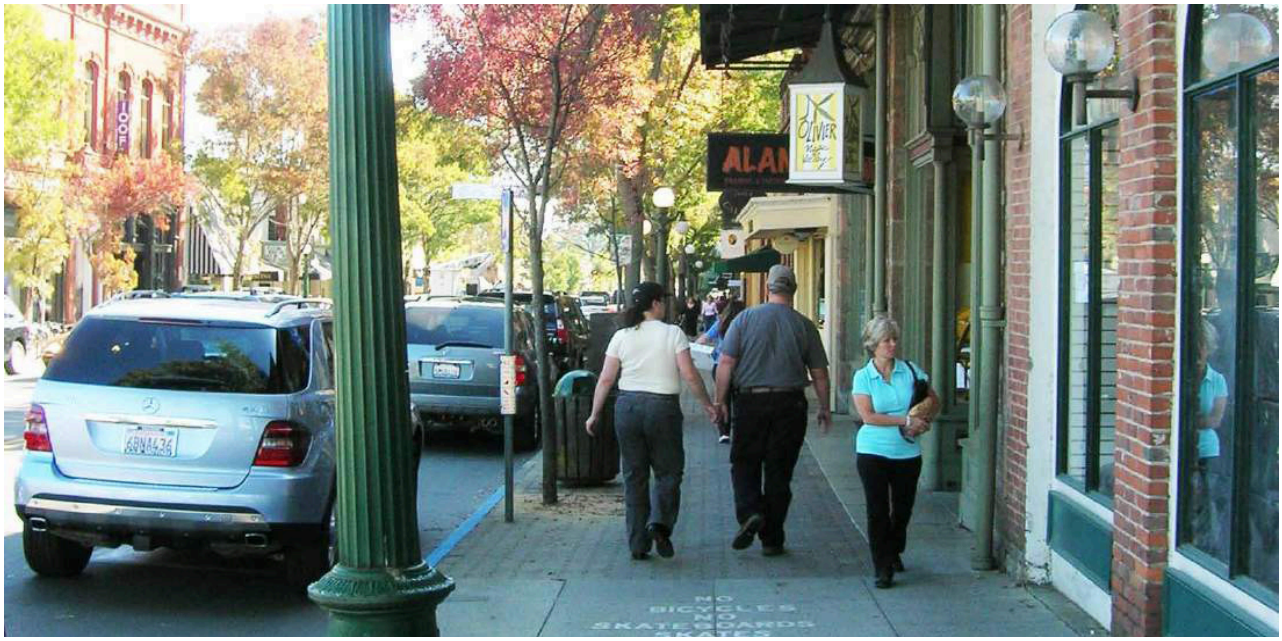
Appendix A: Historic Resources List

chapter one

introduction

1 introduction



Increased mobility, economic resilience, community health and environmental sustainability are all important to the future of St. Helena.

1 **introduction**
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture and entertainment

1.1 Overview

The last comprehensive update of the City of St. Helena's General Plan was completed in 1993, followed by adoption of a new zoning ordinance and map in 1994, to ensure consistency with the General Plan. The defining, unifying goal of all of the elements of the 1993 General Plan was:

"To protect the rural, small town quality and agricultural character of St. Helena. It is the General Plan's intent that the preservation of this small-town character be the unifying philosophy that overlays all other stated goals and policies."

This goal remains a primary focus of the 2040 General Plan update. However, since the adoption of the 1993 Plan, new trends and topics have emerged as important elements of how people approach planning for their communities in the 21st century. Sustainability has become a fundamental principle for all scales of planning and development. The emergence of heritage tourism as an economic development strategy has led to the further integration of local business enhancement and the preservation of valuable cultural, historic, and natural resources. As an increasing focus is placed on how to decrease automobile use and vehicle miles traveled, strengthening pedestrian and bicycle connections has become critical to local mobility and access, and also an integral strategy for addressing climate change.

1 introduction

Additionally, the City of St. Helena has undergone significant changes since the General Plan was last updated in 1993. Napa Valley's growing popularity as a tourist destination, coupled with increasing development pressures resulting from growth throughout the greater San Francisco Bay Area and Sacramento Valley regions, has led to a strengthening of ongoing efforts to protect St. Helena's agricultural lands and small-town character. In addition, improvements to existing public facilities and infrastructure and the creation of new parks have helped to improve quality of life and enhance property values in the city and its surrounding areas.Topics such as local mobility, public health, economic development, and environmental sustainability are also important as residents plan for the future of this beautiful and truly unique town.

The St. Helena General Plan is a powerful policy and implementation tool designed to reflect these changes, respond to the community's vision and desire for its future, and address changes anticipated to take place in the years to come.This introductory chapter to the St. Helena General Plan outlines the context, background, and role of the Plan, including an overview of the document's elements.

1 introduction

Specific sections of the Introduction to the St. Helena General Plan include:

- **1.2 Regional Context**. Provides an overview of St. Helena's role and location in the region (p. 1-5).
- **1.3 Background and Setting**. Describes the City's history and current setting (p. 1-7).
- **1.4 Overall Vision**. Defines St. Helena's vision for the year 2040 (p. 1-12).
- **1.5 Role of the Plan**. Describes how the General Plan is used to set goals, policies, and implementing actions (p. 1-15).
- **1.6 Plan Development Process**. Provides an overview of how the General Plan was developed (p. 1-16).
- **1.7 Overview of the General Plan**. Provides an overview of the 13 elements of the General Plan and how each element is organized (p. 1-21).
- **1.8 Related Planning Documents and Reference Materials**. Lists the related planning documents and reference materials for the General Plan (p. 1-27).

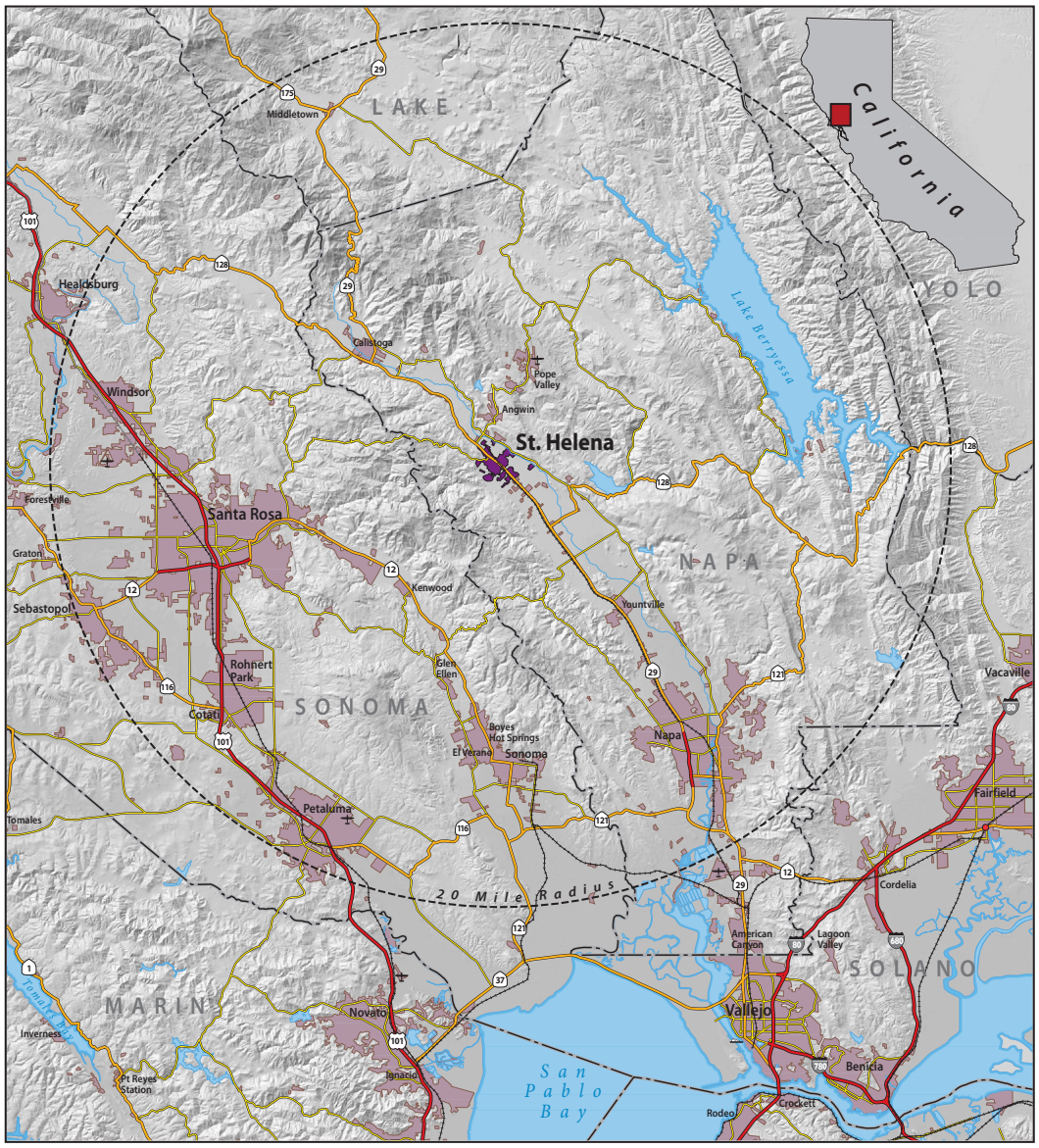
The Napa Valley is known for its diverse soils, microclimates, and success as a center for agriculture and the wine-making industry.

1.2 Regional Context

St. Helena is centrally located in Napa County and sits at the heart of the upper Napa Valley, a region known for its diverse soils, microclimates, and success as a center for agriculture and the wine-making industry. Located approximately 65 miles north of San Francisco and 77 miles west of Sacramento, the city is proximal to Northern California's major urban centers. State Route 29 connects St. Helena to other communities in the Valley, including Calistoga to the north and Yountville, Napa, and American Canyon to the south (see Figure 1.1). The City serves as a commercial and business center for the surrounding towns and unincorporated areas, including Calistoga, Angwin, Deer Park, Rutherford, and the unincorporated area south of St. Helena.

The Coast Range north of the San Francisco and San Pablo bays consists of a series of mountains of moderate relief separated by northwest trending valleys. Nestled between the Mayacamas Mountains to the west and the Howell Mountains to the east, the Napa Valley is one of the major valleys of this region. St. Helena enjoys views of Mount St. Helena, a peak of the Mayacamas located in Robert Louis Stevenson State Park, as well as many other hills and mountainsides.

The Napa Valley rests at the convergence of three California ecoregions: the north coast, the central valley, and the central coast. This unique location supports a diversity of biological resources and a particularly rich heritage of flora and fauna. According to the Land Trust of Napa County, Napa is one of the 25 most biologically diverse counties in the country. The Napa River runs from its origin in the northwest corner of the Valley through the eastern portion of St. Helena. The river begins as fresh water drainage on the southeast slope of Mount St. Helena and flows south to form a tidal estuary downstream of the City of Napa, where it discharges into the San Pablo Bay.



Sources: Metropolitan Transportion Commision, 2001; Green Info Network, 2001; Farmland Mapping and Monitoring Program, California Department of Conservation; Dyett & Bhatia, 2018.

Figure 1.1
Regional Context

1.3 Background and Setting

Human settlement in the Napa Valley dates back thousands of years, when the Yukian people, originally established between the Russian River and Ukiah to the north, spread further south into present day Lake, Mendocino, and Napa counties. The Wappos, Pomos, and Patwins eventually encroached on the Yukian borders, becoming the largest group of Native Americans in the Napa Valley area.

The first Spanish missionaries arrived in the Valley in the 1830s. At the time of European settlement, the Central Wappo had settled permanently around present-day St. Helena. By 1831, between 10,000 and 12,000 Native Americans lived in the area, including approximately 7,000 Wappo. A hundred years later, only a tenth of this population remained.

In 1856, the area experienced its first development boom. The northern extension of the railroad eventually transformed the community into a commercial shipping center for the region. Growth was fueled largely by immigration from China and Europe, particularly Northern Italy and Switzerland, during the last half of the 19th century and the first half of the 20th century. Agriculture and the mining of mercury, or "cinnabar," were key drivers of the economy during this period. Viticulture in St. Helena is known to have begun around 1875. The City was incorporated in 1876.

The town's second period of intense construction took place during the end of the 19th century, with much of this growth concentrated along what is still known today as Main Street. Given its location in the heart of the wine-making region, St. Helena's economy suffered during the Prohibition Era (1920-1933) and grew at a very slow place during subsequent decades. Eventually, wine tourism brought increased attention to St. Helena, resulting in residential and commercial construction and a growth in visitor-serving uses such as hotels, restaurants, and boutique retail establishments.

Many buildings in downtown St. Helena were constructed at the end of the 19th century.

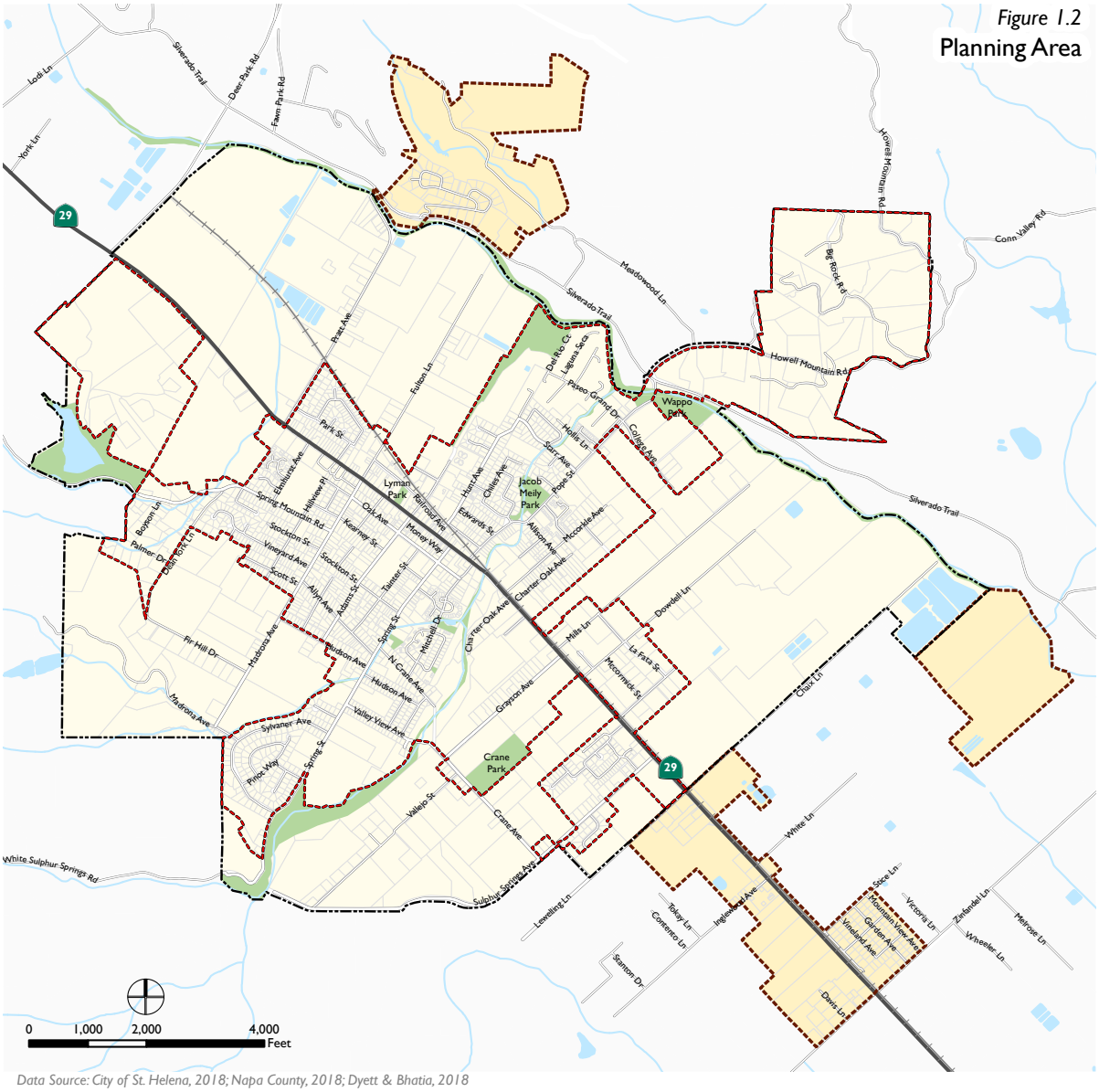
St. Helena's vision includes guiding principles related to a sustainable community, a stable economy and environmental stewardship.

Today, St. Helena is a town of approximately 5,900 residents bisected by State Route 29 (also known as Main Street) and surrounded by agricultural uses. The community stands out in the Valley for its unique, historic character and its ability to attract visitors while also supporting the needs of its resident population. Major economic drivers in St. Helena include agriculture, wine-making, tourism, and education. Several wineries are located within St. Helena, providing jobs and economic benefits associated with tourism. Educational institutions located in the city, such as the Culinary Institute of America and the Napa Valley College Upper Valley Campus, provide jobs and educational opportunities for the area.

1.4 The Planning Area

The State of California encourages cities to look beyond their borders when preparing a General Plan, as issues are not necessarily confined to political boundaries. As shown in Figure 1.2, the Planning Area for the St. Helena General Plan includes the City limit, the Sphere of Influence and three study areas located adjacent to the City limits in unincorporated Napa County. In total, the Planning Area encompasses 3,594 acres of land.

Figure 1.2
Planning Area



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

Parks and Open Space
Urban Limit Line
Study Areas
City of St. Helena

1 introduction

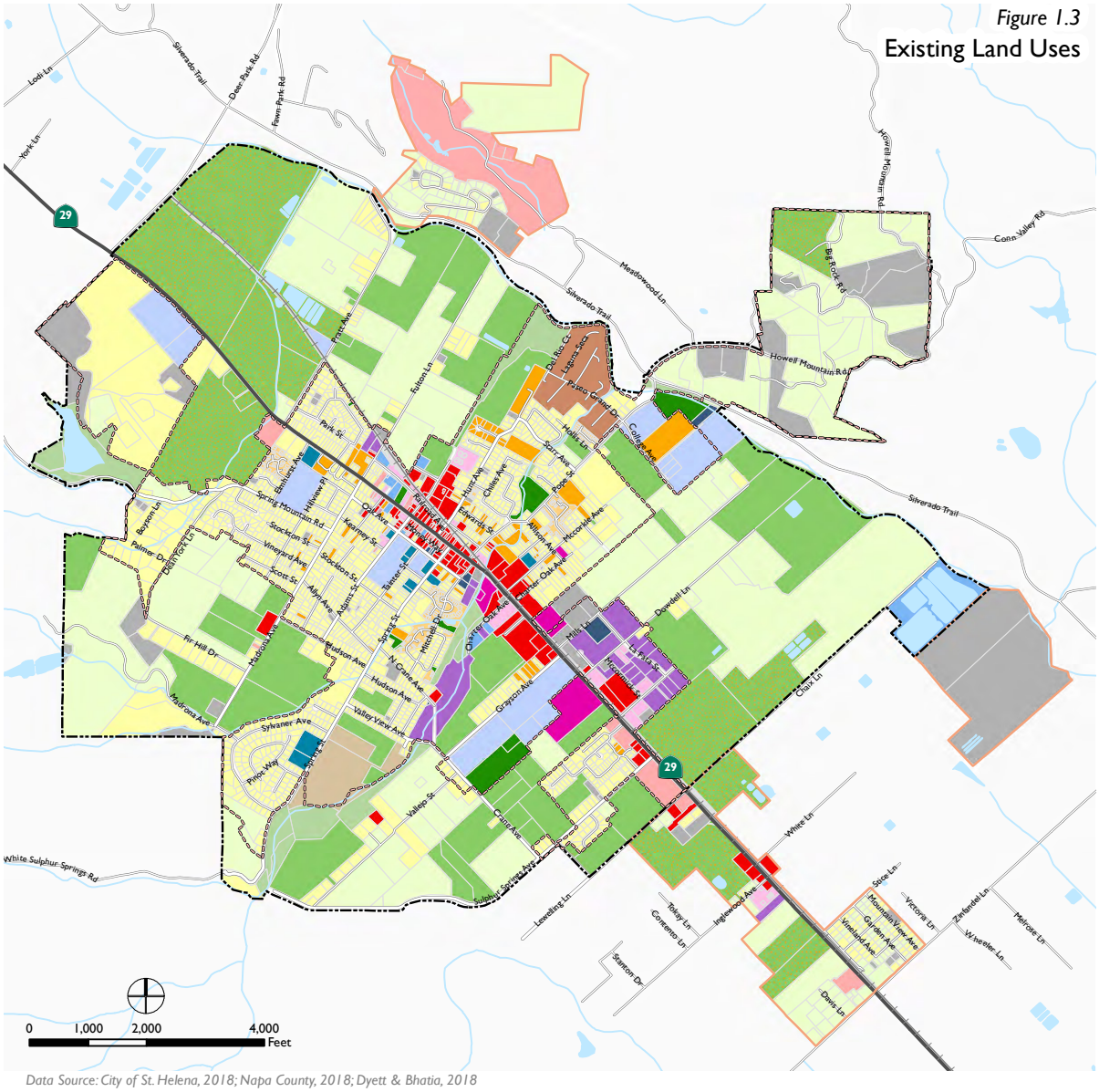
Honoring the historic and agricultural character is a key principle for the City's General Plan Vision.

The Sphere of influence (SOI) represents the probable physical boundaries and service area of a local agency, determined by the Napa County Local Agency Formation Commission (LAFCO) with input from the City. LAFCO establishes SOIs throughout the county that promote the orderly expansion of cities and special districts to avoid the premature conversion of agricultural and open-space lands and to ensure effective, efficient and economic provision of essential public services, including public sewer and water, fire protection and emergency response, and police protection. A city's sphere of influence should reflect existing and planned service capacities. LAFCO reviews and updates SOIs as necessary every five years. Additionally, where warranted by special conditions and circumstances, the City may propose a limited change to the established SOI, referred to as an amendment, for consideration by LAFCO. The City may prezone unincorporated territory adjoining the City for the purpose of determining the zoning that will apply to such property in the event of subsequent annexation to the City.

St. Helena's Sphere of Influence and City limits are coterminous, encompassing a land area of 3,024 acres. The development pattern within this area includes an abundance of agricultural lands, business and industrial uses serving agricultural, single and multi-family residential neighborhoods, and a downtown that serves as the commercial center for the city and surrounding communities. Existing land use (2018), as provided by the County Assessor's parcel data, is provided in Figure 1.3. The existing land uses largely correspond to the existing and proposed General Plan land use designations, which reflects the fact that St. Helena is a largely built-out city.

Although St. Helena does not have jurisdiction in areas outside of its City limits, the City currently provides limited municipal services, including utility service, public safety services, and recreation opportunities, to the three adjacent study areas. As such, what happens in those areas bears a relation to the City's planning and must be considered in the General Plan, per California Government Code Section 65300.

Figure 1.3
Existing Land Uses



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

- Ag/Rural Residential
- Single Family Residential
- Townhomes
- Multi Family Residential
- Mobile Home Park
- Hotel/Lodging
- Commercial
- Office
- Mixed Use
- Industrial
- Hospital/Health
- Educational Facilities
- Public/Quasi-Public
- Religious/Institutional Facilities
- Parks and Recreation
- Open Space
- Agriculture
- Winery
- Cemetery
- Utilities
- Vacant
- Railroad ROW
- Urban Limit Line
- Study Areas
- City of St. Helena

1 introduction

The principle of environmental stewardship includes conservation, wastewater treatment, green building and emissions reductions, among other considerations.

The three study areas include:

- Study Area 1. This 165-acre area is located along the Napa River and includes residential development, the Meadowood Napa Valley resort, and City-owned utility infrastructure, including water tanks. The City provides water service to Meadowood and some of the residential development in the area.
- Study Area 2. Located south of Chaix Lane immediately adjacent to the southeastern City limit, this area of approximately 100 acres comprises the spray fields currently used to dispose of treated effluent from the City's Wastewater Treatment Plant.
- Study Area 3. Comprising parcels with existing commercial and residential development fronting State Route 29, this 185-acre area extends south from Chalk Lane to Zinfandel Lane. The City currently provides water utility service to many properties in this area, with the remaining structures relying on wells and individual septic systems of various ages and capacities.

The intent of including the three study areas within the Planning Area of the General Plan update is to document sensitive environmental resources and regulatory or capacity constraints associated with those areas in the General Plan Environmental Impact Report (EIR) in order to inform decision-makers and community members about associated issues and opportunities. The three study areas are shown in maps included in the Plan for informational purposes.

1.5 Overall Vision

With an eye toward the future, while building on the assets of today, the community of St. Helena envisions that, in the year 2040, the town will be a well-integrated place linked by effective community institutions, safe neighborhoods and streets, and superior schools, parks, and public facilities. In addition, planning for thoughtful, well-managed development, while maintaining its small-town, rural character is of vital importance to St. Helena's residents.

St. Helena's broader vision is based on a common understanding of what it means to live and grow as a sustainable community, making decisions that allow the community to meet the social and economic needs of today, while allowing future generations to meet their own needs.

The following points support the vision and provide guiding principles for St. Helena in 2040, as described previously in this chapter, for fostering a physically, socially, economically, and environmentally sustainable community.

Creating a sustainable community and stable economy requires meeting basic needs and providing opportunities for current and future residents.

The Plan Development process included several community workshops and other public participation and outreach opportunities.

OUR SUSTAINABLE COMMUNITY

St. Helena will preserve its history while managing change. Its traditions of diversity, citizen involvement, and responsive government will help the City plan for a sustainable future.

- More people who work in town will be able to afford to live in St. Helena in a wide range of innovative, well-designed housing, available for residents of all ages and income levels.
- St. Helena's historic and agricultural character will be honored and protected.
- Expanded arts and cultural activities will continue to enrich community life.
- High-quality schools and education for all ages will continue to be a focus of the community.
- St. Helena's character will be strengthened through innovative design that maintains the scale and character of its existing neighborhoods.
- Public spaces and civic facilities will be available for community gatherings, meeting the social and recreational needs of all ages and interests.

OUR STABLE ECONOMY

St. Helena's economy will meet the basic needs of residents, while balancing the benefits and impacts of visitors and provide better economic opportunities.

- Central St. Helena will remain the social, cultural, and economic heart of town.
- More of residents' daily needs will be met in the city by local businesses.
- Vehicular, bicycle, and pedestrian circulation improvements will provide transportation choices, reduce automobile traffic, and improve the quality of life in St. Helena.
- A combination of better regional connections and alternative modes of travel will improve circulation and traffic conditions, reducing congestion on Main Street.

Phase I of the General Plan process included an existing conditions analysis.

OUR ENVIRONMENTAL STEWARDSHIP

Environmental conservation, green choices, and greenhouse gas emissions reductions will be integrated into all areas of community decision making.

- Through a combination of conservation and infrastructure improvements, water and wastewater treatment will meet the community's needs.
- Green buildings and infrastructure and renewable energy installations will reduce energy consumption and improve energy efficiency.
- The riparian corridors of the Napa River, Sulphur Creek, and York Creek will be restored as critical assets.
- Additional and improved parks, protected hillsides, agriculture, trees, locally-grown food, and community gardens will contribute to St. Helena's sustainable community.

1.6 Role of the Plan

The St. Helena General Plan is the primary policy document for the City of St. Helena as it moves toward the year 2040. It 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. The State of California requires that every city and county adopt a general plan to guide decisions related to the conservation of natural resources, the physical form and character of future development, and public welfare and safety. Local ordinances and other plans must be consistent with general plan policies. The St. Helena General Plan establishes the basis for St. Helena's Zoning Ordinance, which serves as the legal regulatory code for land use and development within the City's jurisdiction. An EIR outlining the impacts and associated mitigations of proposed land use, circulation, and other changes is required by State law to accompany the General Plan and be certified concurrently.

The General Plan is used in many ways. City planning staff refers to the General Plan when reviewing development proposals, to ensure that projects align with the community's vision. Where public decisions impact the physical environment, the Planning Commission and City Council use the document to guide decision-making. Importantly, the General Plan empowers the City, public agencies that work with the City, and private developers to invest in and design for a future that will enhance the character of the community and sustain and improve the quality of life, in accordance with the values and goals defined in the Plan.

The goals, policies, and implementing actions set forth in this General Plan create no mandatory duty on the City's part, except as may be explicitly required in the future by the State of California as a condition of approval of any mandatory element of the General Plan in order to satisfy State law. Rather, the goals, policies, and actions provide the foundation for the design and application of current and future policy tools, such as the City's Urban Limit Line,

design guidelines and form-based codes, and specific ordinances to protect St. Helena's wealth of resources. The City Council and staff will ultimately decide whether, as well as when and how, to carry out any goal, policy, or implementing action.

1.7 Plan Development Process

The St. Helena General Plan was developed in four stages:

- Phase I: Community Visioning and Existing Conditions Analysis;
- Phase II: Policy and Physical Framework Development;
- Phase III: General Plan Development; and
- Phase IV: General Plan Completion, subsequent update of documents, and Adoption.

The City Council and Planning Commission provided overall direction, with the assistance of the General Plan Update Steering Committee (GPUSC), and a multidisciplinary consultant team. The GPUSC, composed of St. Helena residents and elected and appointed officials, played an important advisory role throughout the Plan development process, and met regularly to review materials, share ideas and provide feedback.

Phase I. Community Visioning and Existing Conditions Analysis

Phase I of the Plan development began in April 2007 and continued through February 2008. During this phase the GPUSC, supported by City staff and the consultant team, conducted a thorough analysis of existing conditions in St. Helena. These efforts resulted in a series of working papers that collectively provided a comprehensive analysis of existing conditions and key policy issues. Topics included the community vision, community character, circulation, economics, infrastructure, climate change, the natural environment, sustainability, and the regional context. These papers established a starting point for community and City discussion of key issues and opportunities. They also contributed to the body of analysis that served as the technical basis for development of the General Plan.

The Community visioning process, also led by the GPUSC, involved community residents, business owners, and agency and organization representatives. Community engagement activities included a telephone survey, a series of workshops, and an open house and public forum. Each of these tools was dedicated to exploring the major issues and opportunities faced by St. Helena, and the desires of the community moving forward. This process resulted in a clear articulation of the community's desire to build a sustainable future, reflected in its overall vision presented above.

Phase II. Policy and Physical Framework Development

Phase II of the General Plan Update process was initiated in October 2008. During this phase, the City, the GPUSC, and the community worked actively to develop the General Plan goals, policies, and implementing actions. The City launched its General Plan Update website and began publication of regular e-newsletters to keep community members informed of the process. The GPUSC met regularly during this stage and hosted a "land use and design charrette" aimed at exploring key land use issues and opportunities.

The City and General Plan consultants worked closely during this phase to refine existing land use maps, review background policy and technical documents, and analyze the existing General Plan Physical Framework and Land Use Element. The outcomes of this effort included identification of potential land use change areas in the city and identification of the likely impacts of these changes.

Two separate but parallel processes began during Phase II: development of the 2009-2014 General Plan Housing Element and the Adams Street Property Visioning Project. The 2009-2014 Housing Element update process was led by a separate subcommittee, working under a shorter timeline than the process for updating the rest of the General Plan. The 2009-2014 Housing Element for St. Helena was completed in June 2009 and certified as complete by the Department of Housing and Community Development on October 15, 2009. The Adams Street Property Visioning Project began in October 2008 and was completed in March 2009. The Adams Street Plan outlined the community vision for Adams Street and included an accompanying site plan and graphics.

Phase III. General Plan Development

In April 2009, the City began the process to develop the draft General Plan document. A series of eight GPUSC meetings was held to review drafts of the General Plan Elements. Two community workshops were held in fall 2009 to discuss community design and circulation. Additional community meetings were held in early 2010 to review the public draft Plan.

Phase IV. General Plan Completion and Adoption

Beginning in the summer of 2010 the fourth phase of plan development focused on preparing a Draft General Plan for review by the Planning Commission and the City Council. Following joint consideration with the City Council, the Planning Commission reviewed the General Plan, and recommended its approval to the City Council in October of 2010. The City Council considered the Planning Commission recommendations on October 26, 2010 and at a continued City Council meeting on November 9, 2010. At the November meeting, issues were raised primarily relating to water supply. After approving a number of changes, the City Council made a decision to recirculate the EIR. This led to a complete re-examination of the City's water supply and the establishment of the Safe Yield Committee.

The water evaluation also prompted the creation of a Water Management Program that the City Council adopted on November 13, 2012. Staff and the General Plan EIR consultant concluded that implementation of the Water Management Program would effectively mitigate potential impacts of growth from the Plan on the water supply. The City Council subsequently renewed its review of the General Plan.

As part of this renewed review process, the City Council held a number of publicly-noticed General Plan Workshops. These Workshops were held between the Fall of 2012 and the Summer of 2014. As part of this Workshop process, the City Council made a number of revisions to the text of the General Plan. By June 2014 this thorough, element by element, review of the General Plan by the City Council was complete. As required by State law, the Planning Commission in September 2014 began its review of the various changes made to the General Plan by City Council as part of the Council 2012 to 2014 Workshop process. The Commission completed this review of the Council General Plan changes in December 2014. A concluding General Plan workshop was held by the City Council on September 8, 2015 prior to resuming formal public hearings on the General Plan and associated General Plan EIR. During the 2014 to 2015 General Plan Workshop process, the City completed its

required 2015 to 2023 update of the City Housing Element. After a number of hearings at the Planning Commission and City Council level, the City Council approved the Housing Element Update in May 2015. The Housing Element received State HCD approval in late May 2015. It is important to note that the recently approved 2015-2023 Housing Element is not being changed or modified as part of this 2016 General Plan update process.

Between April and August of 2016, the Planning Commission held six study sessions to review the 2016 draft of the General Plan Update. At the July 19, 2016, a compilation of the comments and direction concerning the General Plan taken from the preceding Commission Study Sessions was discussed at-length.

Following incorporation of the Planning Commission's refinements to the 2010 draft described above, the General Plan Update was substantially complete, although some additional changes were necessary to ensure consistency and compliance with State law. In January 2018, the City began the effort to make these additional refinements and finalize the General Plan Update. Additional modifications include:

- An updated horizon year of 2040;
- Additional policies and actions to incorporate climate adaptation and resiliency strategies, including measures address wildfire hazards, flooding and infrastructure in at-risk areas, pursuant to Senate Bill 379 and other applicable laws.
- Additional policies and actions to address relevant environmental justice issues, based on an analysis of data from the California Communities Environmental Health Screening Tool, pursuant to Senate Bill 1000 and other applicable laws.
- Updates to data, maps and text to ensure the use of the latest, publicly available information.

The City Council and Planning Commission held joint study sessions on February 20 and August 14, 2018 to review and discuss these further targeted updates to the 2010 draft.

1.8 Overview of the General Plan

The St. Helena General Plan consists of 13 chapters: 12 elements and the Introduction. It should be noted that since the Housing Element is updated on a separate eight-year cycle, and was last updated in 2015, it is not included within this General Plan update, though it is referenced as Chapter 11 within the Plan. Each of the elements contained within the General Plan is critical to establishing the policy direction necessary to achieve the community's vision of sustainability in land use and related activities over the next 20 years. State statutes require that local general plans include the following seven elements, at a minimum: Land Use, Housing, Circulation, Open Space, Noise, Safety, and Conservation. California general plan guidelines encourage jurisdictions to reorganize or combine elements as appropriate to improve clarity and eliminate redundancy in the document. In addition, jurisdictions may incorporate additional elements as needed to achieve the community's vision and overarching goals. In order to respond to the community's special needs and desires, the St. Helena General Plan reorganizes some required plan components and incorporates several optional elements.

As stated in Section 1.6 of the General Plan, except as may be set forth in the Housing Element, the goals, policies, and implementing actions set forth in the General Plan create no mandatory duty on the City's part.

Table 1.1 lists all elements of the St. Helena General Plan and illustrates which elements are required by State law and which are optional. As previously noted, the Housing Element, while part of the General Plan, is published as a "stand alone" element, and is not physically incorporated into this General Plan document.

TABLE 1.1. Elements of the St. Helena General Plan

General Plan Element	Required	Optional
Land Use and Growth Management	●	
Economic Sustainability		●
Public Facilities and Services		●
Circulation	●	
Historic Resources		●
Community Design		●
Open Space and Conservation	●	
Public Health, Safety and Noise	●	
Climate Change		●
Housing	●	
Parks and Recreation		●
Arts and Culture		●

1 introduction

ELEMENT ORGANIZATION

Each element of the St. Helena General Plan begins with a brief introduction and background on the specific subject matter. Graphs, tables, and maps are used to highlight key information and plan direction. In addition, each element contains a "Concepts, Trends and Ideas" sections describing recent innovations and concepts relevant to planning the future of St. Helena.

At the heart of each element of the St. Helena General Plan is a series of goals, policies, and implementing actions. Goals are statements that describe the broad, long-term aspirations of the City and community. Each goal in the Plan consists of a brief directive, which is followed by a narrative that provides further description of the preferred direction that the goal establishes. Policies provide the needed specificity or guidance for the City as it makes decisions. Policy statements encourage certain actions and lay the foundation for the City to establish regulations, programs, and incentives, where needed, to achieve each goal. Implementing actions identify the specific steps required to implement policies and advance the goals.

OVERVIEW OF THE GENERAL PLAN ELEMENTS

Chapter Two: Land Use and Growth Management

The Land Use and Growth Management Element presents a framework for governing future decisions about allowable, context-appropriate land use and desired development patterns. The framework aims to manage growth effectively while encouraging the use of innovative approaches, quality design, and infill strategies as the community evolves. Policies and actions in this Element draw from and build upon St. Helena's distinct history and character, walkable and strong neighborhoods, and active downtown.

Chapter Three: Economic Sustainability

The Economic Sustainability Element is included in the General Plan in recognition of the important role that economic sustainability plays towards achieving St. Helena's overall community vision of "meeting present needs without com-

promising the ability of future generations to meet their needs." The guiding principles established in this Element provide the policy direction needed to develop a sustainable economy that is responsive to short-term and longer-term community concerns and objectives.

Chapter Four: Public Facilities and Services

The Public Facilities and Services Element sets forth policy guidance for the City's provision of services, amenities, and infrastructure. This includes community service facilities, public utilities, and the required physical infrastructure for service and utility delivery. Policies related to public facilities and services follow from the key topics identified in this Element including: water, wastewater, storm drainage and flooding, solid waste, schools, libraries, fire, and police.

Chapter Five: Circulation

The Circulation Element establishes the policies needed to foster a comprehensive and multimodal transportation network that is well integrated with the City's land use and growth management goals, policies, and actions. The Element identifies the principal components of the circulation system, as well as issues relating to parking, transit, and pedestrian and bicycle routes. Standards and guiding principles for the implementation of transportation facilities and infrastructure are also included.

Chapter Six: Historic Resources

The Historic Resources Element presents a framework for governing future decisions about protecting, rehabilitating, retrofitting, and adaptively reusing the City's historic buildings. The intent of this Element is to establish the policies required to manage St. Helena's historic assets in order to maintain the City's sense of place and ensure that these assets can be enjoyed by current and future residents and visitors.

Chapter Seven: Community Design

The Community Design Element presents a framework of policies and implementing actions that correspond directly with other General Plan elements in determining the form, quality, and character of St. Helena's built environment. By respecting established neighborhoods and historic assets, this Element provides guidance to build upon St. Helena's distinct history, while promoting new approaches to enhance future public and private development.

Chapter Eight: Open Space and Conservation

The Open Space and Conservation Element guides future decisions about how St. Helena will sustain a healthy network of open spaces and protect natural resources for today's residents, as well as future generations. Element goals, policies, and implementing actions are designed to protect, maintain, and enhance St. Helena's biological, ecological, and agricultural resources, while balancing current community resource needs with conservation endeavors to benefit the common good.

Chapter Nine: Public Health, Safety and Noise

The Public Health, Safety, and Noise Element presents a framework for minimizing risks posed by environmental and human-caused hazards that may impact St. Helena's health and welfare. This Element aims to ensure that St. Helena's residents, workers, and visitors are protected from negative exposure to flooding, fires, hazardous materials, air pollution, and geologic and seismic hazards.

Chapter Ten: Climate Change

The Climate Change Element is the City's policy framework for responding to and planning for climate change. Goals, policies, and implementing actions presented in this Element address energy conservation, renewable energy production, and transportation. The policies and actions included in this Element align with the Napa Countywide Community Climate Action Framework and chart

a course for responsible growth and sustainable business development that meets St. Helena's specific needs.

Chapter Eleven: Housing

The Housing Element, which was adopted by the City and certified by the State in May 2015, establishes a comprehensive plan to address housing needs in St. Helena over the eight-year planning period between July 1, 2015 and June 30, 2023. This Element sets the community goals and policies surrounding the development, rehabilitation, and preservation of housing units to meet the needs of St. Helena's current and future residents. Every jurisdiction in the State of California is required to submit a Housing Element to the State HCD for review and certification. The adopted 2015 to 2023 Housing Element is not being modified as part of this General Plan update process. As previously noted, the Housing Element document is not physically included within this updated General Plan. The Housing Element is referenced in the General Plan as Chapter 11.

Chapter Twelve: Parks and Recreation

The Parks and Recreation Element presents a framework for developing and maintaining a comprehensive system of quality parks, pedestrian and bicycle trails, recreational facilities, and programs. It aims to ensure that management of parks and recreational programming supports community members' health, entertainment, and high quality of life. Key to these efforts is creating and maintaining a network of bicycle and pedestrian trails that establishes connections between residential neighborhoods, parks, schools, and goods and services.

Chapter Thirteen: Arts, Culture and Entertainment

The Arts, Culture, and Entertainment Element aims to preserve and protect St. Helena's unique identity, heritage, and cultural resources; celebrate its vibrant community; and expand opportunities for arts enrichment. By providing policy support for City leadership, active community participation, and strategic partnerships, this Element seeks to integrate arts, culture, and entertainment into the community's everyday life.

1.9 Related Planning Documents and Reference Materials

The following documents are included in an appendix to the General Plan.

- Historic Resources List

A copy of the General Plan Appendix is available separately on the City's Web site, and a hard copy of the Appendix is available at City Hall. A copy of the General Plan Program EIR is also available on the City's website.

CONCEPTS, TRENDS AND IDEAS

Community Engagement and Plan Development

General Plan Update Steering Committee

The General Plan Update Steering Committee (GPUSC) played an invaluable role in ensuring that the updated General Plan reflects the community's desires and is responsive to the needs of its residents. Composed of City residents and appointed and elected officials, and supported by key City staff, the GPUSC began meeting in March 2007 to inform the update of the General Plan. Regular GPUSC meetings took place almost monthly throughout the Plan development process through 2010.

Community Workshops

The City hosted a number of community workshops to provide the opportunity for community members to share ideas, voice concerns, and give feedback on Plan goals, policies, and objectives. The vision statement, which serves as the foundation for the General Plan was developed by the community during Phase I of the update process.

Workshops in 2009 and 2010 focused on the development of land use, community design, and transportation concepts for the Plan and review of draft Plan components. Additional General Plan workshops, held in 2014 and 2015, focused on changes to the General Plan since the first full draft of the General Plan was completed in 2010.

The community has been involved throughout the plan development process through community workshops, telephone interviews, and online engagment.

Telephone Survey

Between June 25 and July 6, 2007, General Plan consultants conducted telephone interviews with 330 heads of households in St. Helena. Households were contacted via random-digit-dialing based upon St. Helena's zip code, and potential respondents were screened to ensure that they were full-time residents of the City. The primary concern noted by respondents was to ensure that the City of St. Helena continues to support and address the needs of its residents. In addition, most respondents noted that they would also like St. Helena to maintain its small-town, rural character.

General Plan Website

The St. Helena General Plan website established an important online presence for the General Plan Update, serving as the portal for community and General Plan Update team members to access project-related information and materials. Individuals frequently used the online comment feature to submit their ideas, questions, and concerns to the project team. While the City no longer maintains a website devoted solely to the General Plan Update process, a copy of the General Plan is available on the City's main website.

chapter two

land use and growth management

2 land use and growth management

The Land Use and Growth Management Element provides an outline for governing future land use decisions and development patterns.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture and entertainment

2.1 Purpose of the Element

The Land Use and Growth Management Element presents a framework for governing future decisions about allowable, context-appropriate land use and desirable development patterns to maintain the small-town character of St. Helena. This framework aims to effectively manage growth by drawing from and building upon the community's distinct history, walkable and strong neighborhoods, and active downtown. The Land Use and Growth Management Element sets the stage for maintaining an economically, socially, and environmentally sustainable St. Helena.

The Land Use and Growth Management Element includes the following sections.

- **2.2 Community Development Framework**. Describes the framework for community development, including the growth management system and land use designations (p. 2-3).
- **2.3 Key Findings.** Identifies key findings based on an existing conditions analysis and extensive community outreach (p. 2-26).
- **2.4 Goals**. Defines overarching goals to guide policies and implementing actions (p. 2-28).

- **2.5 Policies and Implementing Actions**. Identifies policies and implementing actions to manage growth and maintain community character (p. 2-29).

2.2 Community Development Framework

Famous for its scenic Napa Valley location, fine wineries, and historic Main Street, St. Helena seeks to protect its small-town, agricultural character through a coordinated approach to growth management and land use planning. The City has developed an Urban Limit Line to control and limit development in order to ensure that prized agricultural and open space lands remain for future generations. In addition, it has crafted a land use designation system that works in tandem with its growth management goals, while allowing for targeted development in key areas and maintaining the character of its existing neighborhoods and central commercial areas. Following are detailed descriptions of the City's land use designations, growth management system, and development capacity.

The increasing pressures to grow caused serious concern in the community during the 1970s and resulted in the creation of a Growth Management System in the late 1970s. Public workshops and a phone survey conducted for the 1993 General Plan Update indicated that the principal land use concern was the rate of growth in the city. The community was generally concerned that there would be a loss of charm and beauty, increased traffic conditions, and an inadequate water supply. For the 2040 General Plan Update, a phone survey, Town Hall meetings, and mail-in survey were conducted and found that the same issues still resonate in the community and addressing concerns regarding traffic congestion, inadequate water supply, and preservation of small-town character remain priorities in St. Helena. Therefore, the City should follow the long-standing philosophy that growth in St. Helena needs to be carefully managed to ensure that each of these decades-long public concerns are adequately addressed in future land use determinations.

St. Helena seeks to protect its small-town, agricultural character through a coordinated approach to growth management and land use planning.

LAND USE DESIGNATIONS

Land in St. Helena is classified according to four broad land use categories:

- Residential Areas;
- Commercial and Mixed-use Areas;
- Business and Industrial Areas; and
- Community and Natural Resource Areas.

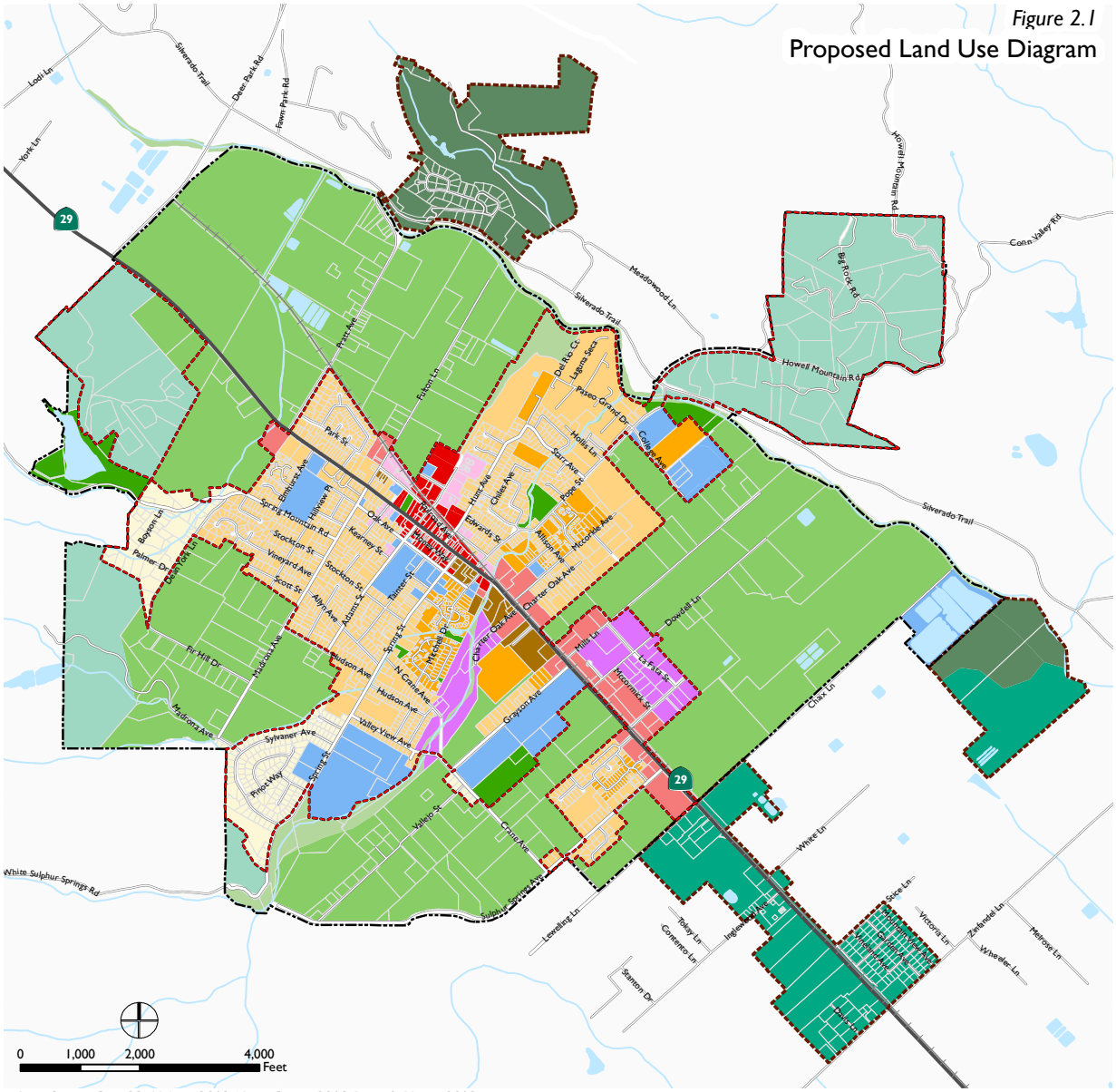
Within each of these categories, specific land use designations identify uses and the density and intensity of development allowed in each designation. Table 2.1 and Figure 2.1 outline the City's land use designations. For quick comparison and reference, Figure 2.2 includes a menu of St. Helena's land use designations, permitted building intensities and densities, and examples of potential building types for each land use designation.

TABLE 2.1: General Plan Land Use Acreage

Land Use Designation	Acres	Percent of Total
Residential		
Low Density Residential	97	3%
Medium Density Residential	409	13%
High Density Residential	83	3%
Subtotal	**589**	**19%**
Commercial and Mixed-Use		
Mixed-Use	19	1%
Central Business	28	1%
Service Commercial	61	2%
Subtotal	**108**	**4%**
Business and Industrial		
Office	15	0.5%
Industrial	60	2%
Subtotal	**75**	**2.5%**
Community and Natural Resource		
Open Space	72	2%
Park	57	2%
Public and Quasi-Public	156	5%
Woodlands and Watershed	451	14%
Agriculture	1,451	46%
Subtotal	**2,187**	**69%**
Total	**3,148**	**100%**
Note: Acreage totals do not include public roadways.		

Figure 2.1

Proposed Land Use Diagram



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

St. Helena General Plan

- Low Density Residential
- Medium Density Residential
- High Density Residential
- Central Business
- Service Commercial
- Mixed-Use
- Office
- Industrial
- Public and Quasi-Public
- Parks and Recreation
- Agriculture
- Open Space
- Woodlands and Watershed

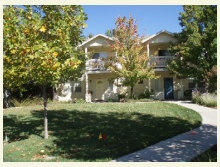
Napa County General Plan

- Agricultural Resource
- Agriculture, Watershed and Open

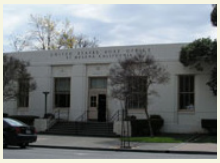
- Railroad
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

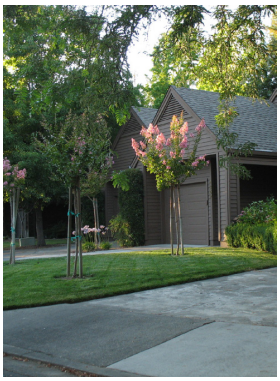
GENERAL PLAN UPDATE
City of St. Helena

FIGURE 2.2: General Plan Land Use Menu

Land Use Category	Density/ Intensity	Examples
Low Density Residential (LDR): Single-family detached homes, secondary residential units and limited agricultural uses.	1.0 to 5.0 dwelling units per acre	
Medium Density Residential (MDR): Single-family detached and attached homes, and secondary residential units.	5.1 to 16.0 dwelling units per acre	
Higher Density Residential (HDR): Single-family and multi-family housing, including apartments, townhouses and group homes.	16.1 to 28.0 dwelling units per acre	
Mixed-Use (MU): Medium density residential mixed with retail, office, restaurant or other local-serving uses.	Up to 20 dwelling units per acre	
Central Business (CB): Retail and commercial businesses that serve residents and visitors, including restaurants, lodging, retail, office, etc.	Maximum FAR 2.0	
Service Commercial (SC): Retail and service uses that are local-serving and may be auto-oriented, including offices, restaurants, service stations, etc.	Maximum FAR 0.50	

Notes: Dwelling units per acre (du/ac) describes residential building density. Floor area ratio (FAR) denotes building intensity for non-residential uses.

Land Use Category	Density/ Intensity	Examples
Business and Professional Office (BPO): Administration and professional office uses, including medical, financial, etc.	Maximum FAR 0.50	
Industrial (I): Industrial parks, warehouses, light manufacturing, auto and farm-related uses.	Maximum FAR 0.50	
Woodland and Watershed (WW): Very low density residential that ensures protection of wildlife, vegetation, open space and watershed resources.	Minimum parcel size 5 acres	
Agriculture (AG): Agricultural and winery uses with restricted single-family residential.	Minimum parcel size 5 to 40 acres	
Public/Quasi-Public (PQP): Government-owned facilities, schools, churches, cemeteries, etc.	Maximum FAR 0.50	
Parks and Recreation (PR): Parks with public recreation uses.	N/A	
Open Space (OS): Natural open spaces devoted to natural resource preservation and management, outdoor recreation, public health and safety.	N/A	



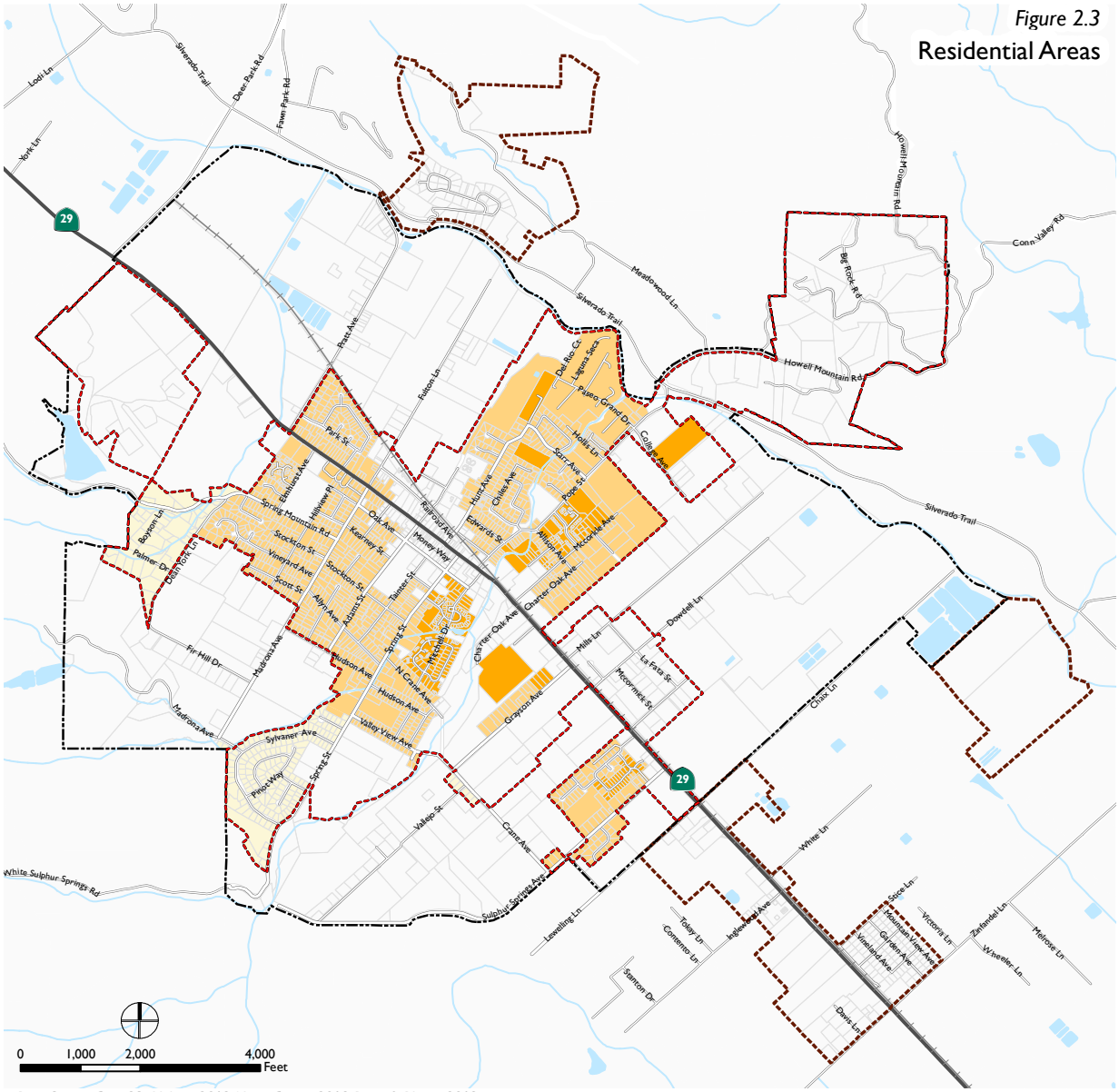
There are a variety of residential densities including single family, multi-family and secondary dwelling units.

Residential Areas

St. Helena has a variety of residential areas that include single family, multifamily, and secondary residential housing options. These neighborhoods support a range of lifestyles at a broad spectrum of household income levels. Higher density infill development can expand housing options citywide, but the impact to neighborhoods with regard to traffic, parking, and public safety - where difficult fire access, roads with parking on both sides, and sidewalks without street separation can result in accidents - should be carefully considered. The creation of mixed-use areas with retail in the heart of the city can also increase housing options. Residential land use designations should encourage the development of accessible and diverse neighborhoods, where appropriate. Figure 2.3 highlights residential areas.

- **Low Density Residential (LDR)**. The LDR land use designation includes single-family detached homes, accessory dwelling units (sometimes referred to as "second units"), limited agricultural uses, and similar and compatible uses. This designation permits residential densities between 1.0 and 5.0 dwelling units per acre. The LDR designation applies to limited areas of the city with large, residentially-subdivided parcels, particularly those near the city's perimeter.
- **Medium Density Residential (MDR).** The MDR land use designation includes single-family attached and detached homes, and compatible uses. This designation permits residential densities between 5.1 and 16.0 dwelling units per acre. Retained from the 1993 General Plan, the MDR designation is the City's predominant residential designation and it is intended to maintain a development pattern in St. Helena's higher density areas that is consistent with historic development patterns.
- **Higher Density Residential (HDR).** The HDR land use designation can accommodate single-family and multi-family residential housing, apartments, and group quarters. This designation permits residential densities between 16.1 and 28.0 dwelling units per acre.

Figure 2.3
Residential Areas



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

- Low Density Residential
- Medium Density Residential
- High Density Residential
- Railroad
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

Commercial uses include restaurants, cafes, retail and offices.

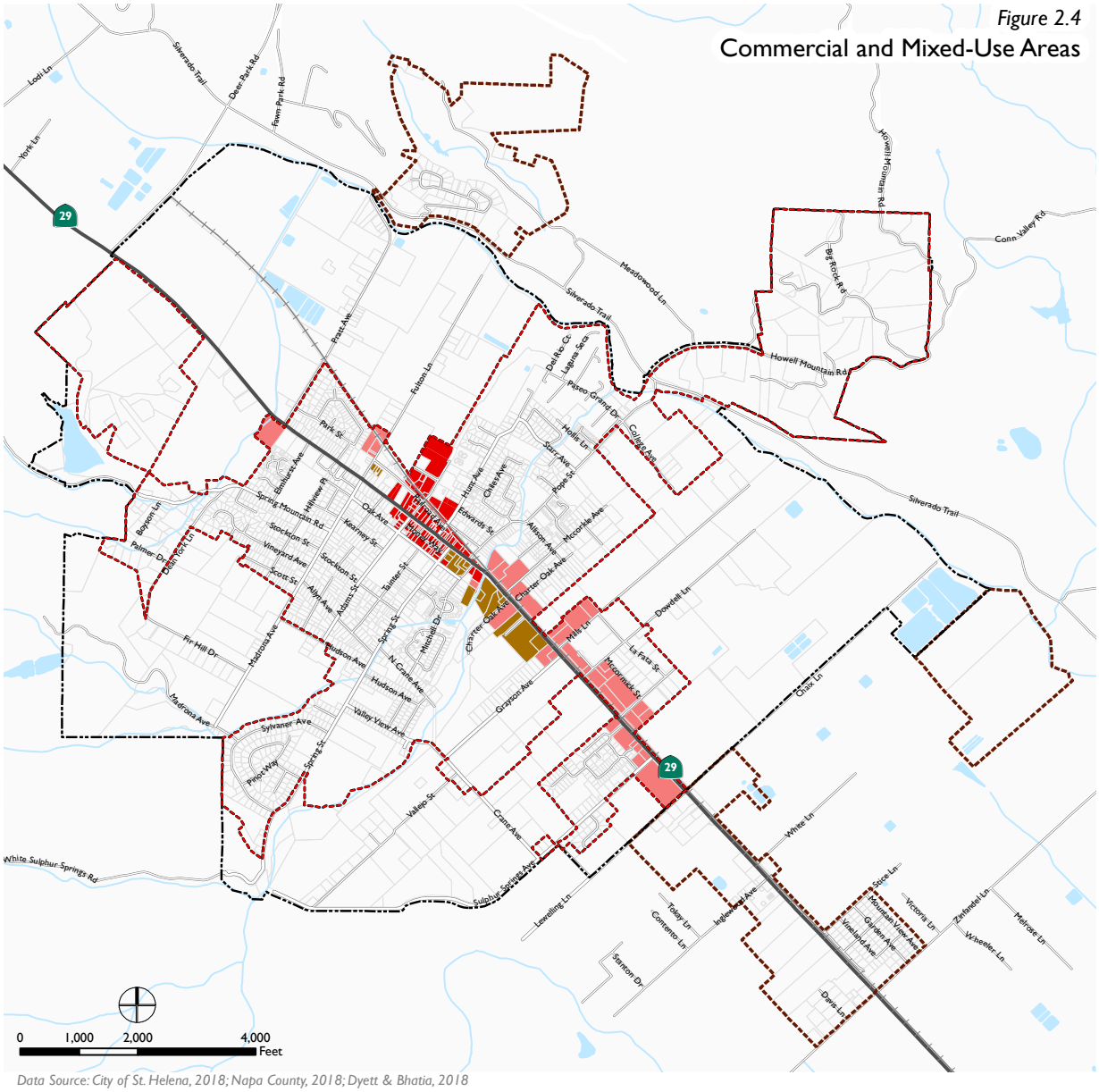
Commercial and Mixed-Use Areas

St. Helena has a number of commercial areas that provide retail and commercial services. Businesses serve tourists, city residents, and residents of the unincorporated agricultural areas who have traditionally traveled to St. Helena to shop for goods and services. In the city's historic Central Business District, a small amount of higher-density, mixed-use development that is context appropriate can expand housing options while also supporting additional retail and commercial services. Figure 2.4 highlights commercial and mixed-use areas.

- **Mixed-Use (MU)**. The MU land use designation allows medium- to high-density residential mixed with retail, office, restaurant, or other commercial uses. The maximum allowable residential density in MU areas is 20 dwelling units per acre. The intent of this land use designation is to protect the Urban Limit Line by encouraging a mix of uses at infill locations and reduce greenhouse gas emissions by locating housing opportunities within close proximity to commercial and retail.
- **Central Business (CB).** The CB land use designation includes retail and commercial uses that serve local residents and the surrounding area. Typical CB uses include offices, restaurants, specialty retail and lodging, with particular emphasis on pedestrian-oriented retail and service uses on the ground floor level and offices located on upper floors. Residential uses can be considered for upper floor areas but are subject to discretionary use permit review and approval. The maximum allowable FAR in CB-designated areas is 2.0. The CB district extends from Sulphur Creek along Main Street to midway between Adams Street and Pine Street, west to Oak Avenue and along the north side of Adams Street east of Main Street.
- **Service Commercial (SC).** The SC land use designation includes service and retail uses that have larger space needs than are available in the Central Business District. Potential SC uses include offices, restaurants, service stations, and lodging, with a maximum allowable FAR of 0.50. The SC designation includes areas fronting State Route 29/Main Street south of Sulphur Creek.

Figure 2.4

Commercial and Mixed-Use Areas



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

- Central Business
- Service Commercial
- Mixed-Use
- Railroad
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

Business and Industrial Areas

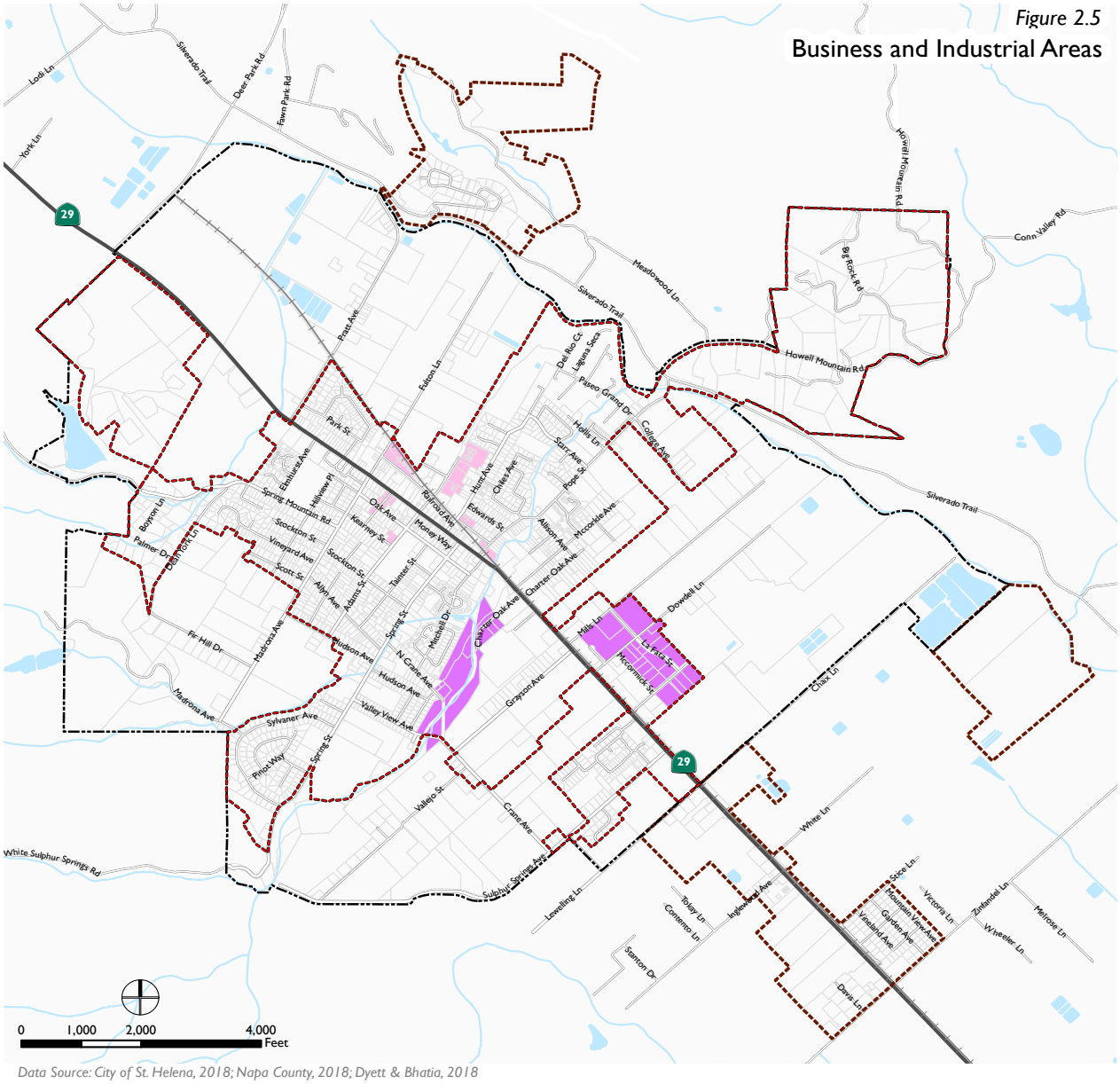
St. Helena has limited areas designated for business and industrial uses. These uses are important to the community's economic health, serving St. Helena residents as well as residents and businesses in the surrounding unincorporated areas. Figure 2.5 highlights business and industrial areas.

Industrial areas provide important locations for light manufacturing and agriculture-related uses.

- **Business and Professional Office (BPO).** The BPO designation allows for professional and administrative office uses, including medical, financial, and similar uses. Residential uses in this designation can be considered for upper floor areas, subject to discretionary use permit review and approval. The maximum allowable FAR is 0.50. BPO areas are located throughout the city and provide a compatible, transitional use between commercial and residential areas.
- **Industrial (I).** The Industrial land use designation includes industrial parks, warehouses, light manufacturing, and auto and farm-related uses. The maximum allowable FAR is 0.50. Industrial areas are located south of Mills Lane and east of State Route 29; along Sulphur Creek between State Route 29 and Valleyview Street; and east of State Route 29, south of Mills Lane. An Urban Reserve Area is designated to the east of the existing industrial area south of Dowdell Lane for future expansion of this area.

Figure 2.5

Business and Industrial Areas



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

Office
Industrial
Railroad
Water Features
Urban Limit Line
Study Areas
City of St. Helena

Agriculture designations make up more than 48% of the land within the City.

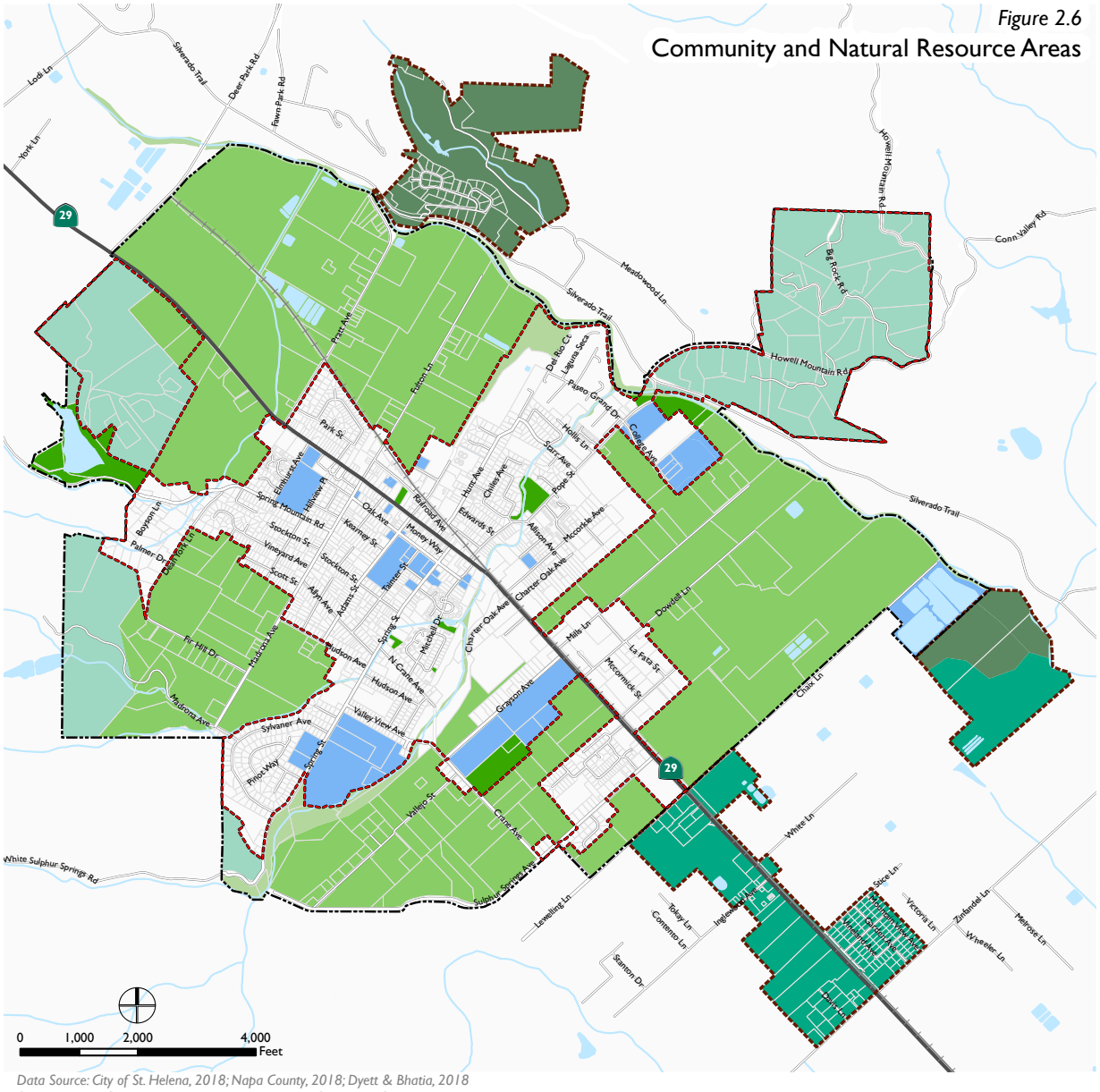
Community and Natural Resource Areas

St. Helena has a wide range of agriculture, parks, open spaces, and civic uses that serve a diverse range of community needs. Natural areas, such as the creeks and hills, offer opportunities for preservation and conservation. Public facilities provide opportunities for social and community development. Land use planning should aim to improve these amenities and enhance accessibility for all city residents. Figure 2.6 highlights community and natural resource areas.

- **Woodland and Watershed (WW).** The WW designation includes very low density residential that ensures the protection of wildlife, vegetation, open space, and watershed resources. This designation applies to steep hillsides at the city's westernmost and easternmost boundaries, with the intent to accommodate low-density, estate type development in locations that are less suitable for agricultural use. The minimum allowable parcel size is five acres.
- **Agriculture (AG).** The AG land use designation includes agricultural and winery uses with restricted single family residential and public/quasi-public uses. This designation applies to large areas of the valley floor that surround the city's urban core. With the exception of hillside areas designated WW, all lands outside the Urban Limit Line are designated AG regardless of their size or actual use. Minimum parcel sizes for new parcels in AG areas range from 20 to 40 acres. However, wineries in AG land may utilize a small portion of onsite land for provision of affordable employee housing thus alleviating some of the low and moderate housing needs in the city, while simultaneously reducing commute traffic.
- **Public/Quasi-Public (PQP)**. The PQP land use designation provides for government-owned facilities, public and private schools, and quasi-public uses such as churches, community/public serving endeavors, and cemeteries. The maximum FAR for the PQP designation is 0.50. The PQP designation occurs throughout the city, and includes the City library, all of the public schools, some of the private schools, all churches, cemeteries, and the City-owned wastewater treatment plant.

Figure 2.6

Community and Natural Resource Areas



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

St. Helena General Plan

- Public and Quasi-Public
- Parks and Recreation
- Agriculture
- Open Space
- Woodlands and Watershed

Napa County General Plan

- Agricultural Resource
- Agriculture, Watershed and Open Space

- Railroad
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

- **Parks and Recreation (PR)**. The PR land use designation includes public parks with recreation uses. It applies to all existing public parks and proposed park sites.
- **Open Space (OS)**. The OS designation includes open spaces that are devoted to natural resource preservation and management, passive outdoor recreation, multi-use trails, public health, and safety. All OS areas are associated with stream corridors that pass through or are adjacent to the city, including the Napa River, Sulphur Creek, and York Creek. Roads are part of Open Space, but are not contributors to natural resource, public health, recreation, etc. as stated above.

The Urban Limit Line marks the limit of where development is permitted.

GROWTH MANAGEMENT

St. Helena aims to contain development and preserve agricultural lands in and adjacent to the city. Tools for accomplishing this include the Urban Limit Line, designated Urban Reserve Areas, and the Residential Growth Management System. Figure 2.7 illustrates St. Helena's Urban Limit Line and Urban Reserve Areas.

Urban Limit Line

The Urban Limit Line is a parcel-specific boundary that marks the limit of where urban development is permitted within the incorporated area of St. Helena. The intent of the Urban Limit Line is to discourage urban sprawl by containing urban development within designated areas during the planning period (see Figure 2.7).

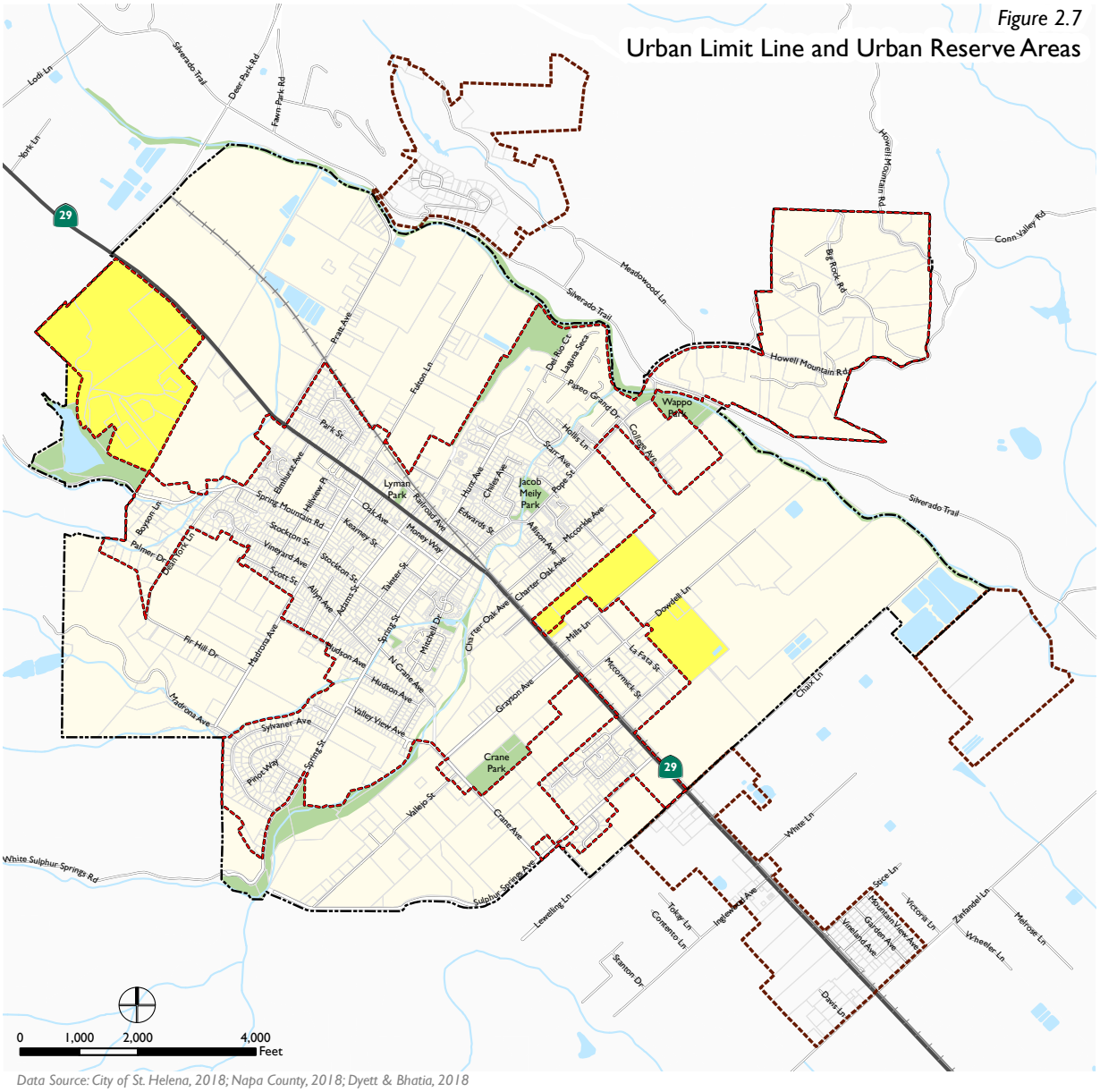
Land outside the Urban Limit Line, but inside the incorporated area, is designated for agricultural uses. Given the long-term nature of the General Plan and the potential for unforeseen circumstances, the Plan anticipates the potential need to expand the urban area by identifying Urban Reserve Areas.

Urban Reserve Areas

Urban Reserve Areas can be considered for urban development after urban sections within the Urban Limit Line are developed and if additional land is needed

Figure 2.7

Urban Limit Line and Urban Reserve Areas



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

Urban Limit Line
Urban Reserve Areas
Study Areas
City of St. Helena
Railroad
Parks and Open Space
Water Features

for urban uses. The Urban Reserve Areas, which are contiguous with the existing urban area, have been carefully located to encourage thoughtful, measured growth and to ensure that further urban development will maintain the compact development pattern desired by the community.

Urban Reserve Areas are all designated Agricultural (AG) and are expected to remain in agricultural use or undeveloped for the foreseeable future. Zoning in the Urban Reserve Areas will be the same as in other areas designated for agriculture. Zoning changes of any specific Urban Reserve Areas will be determined by the City Council at the time of incorporation within the Urban Limit Line. Such changes will depend upon many factors, including: compatibility with existing or proposed surrounding uses; availability of services; demand for the proposed uses; the availability of other suitable areas; and the agricultural resource value of the land.

Locational suitability and timing will be considered when considering changes to the Urban Limit Line and incorporation of Urban Reserve Areas. Requests for expansion of the Urban Limit Line will be considered in logical groupings that reflect the best long-term interests of the City, and will not be considered on a parcel-by-parcel basis, or in a manner that would permit non-contiguous development.

Residential Growth Management System (GMS)

The Residential Growth Management System limits (GMS) the number of building permits available for residential growth each year. That limit, as of the time of the General Plan update in 2018 is nine (9) residential units/year, with exceptions given for affordable housing, accessory dwelling units, and in other circumstances as spelled out in the City's implementing Growth Management Ordinance. The City, as part of its periodic review of the GMS, should consider the assigned Regional Housing Need Allocation (RHNA) number for a given Housing Element cycle when establishing limits. This will help to ensure consistency with the larger Bay Area's growth direction which encourages development in Priority Development Areas (PDAs) near transit and job centers. The regional growth strategy indicates that development outside the PDAs encourages sprawl, and contributes to traffic congestion and environmental impacts such as reduced air quality and loss of open space and Agricultural lands. No PDAs have been established in St. Helena.

2 land use and growth management

A growth strategy principle is to maintain high-quality design and community character.

GENERAL PLAN STRATEGY

The General Plan strategy presents an outline for the evolution of the city. This strategy is grounded in a set of planning principles and identifies key General Plan Change Areas and land use capacity in those areas. Each of these topics is described in more detail below.

Growth Strategy Principles

The principles for guiding future growth in St. Helena are based upon the city's unique development pattern, vision for a sustainable future and its growth management. The following planning principles apply to the land use development strategy:

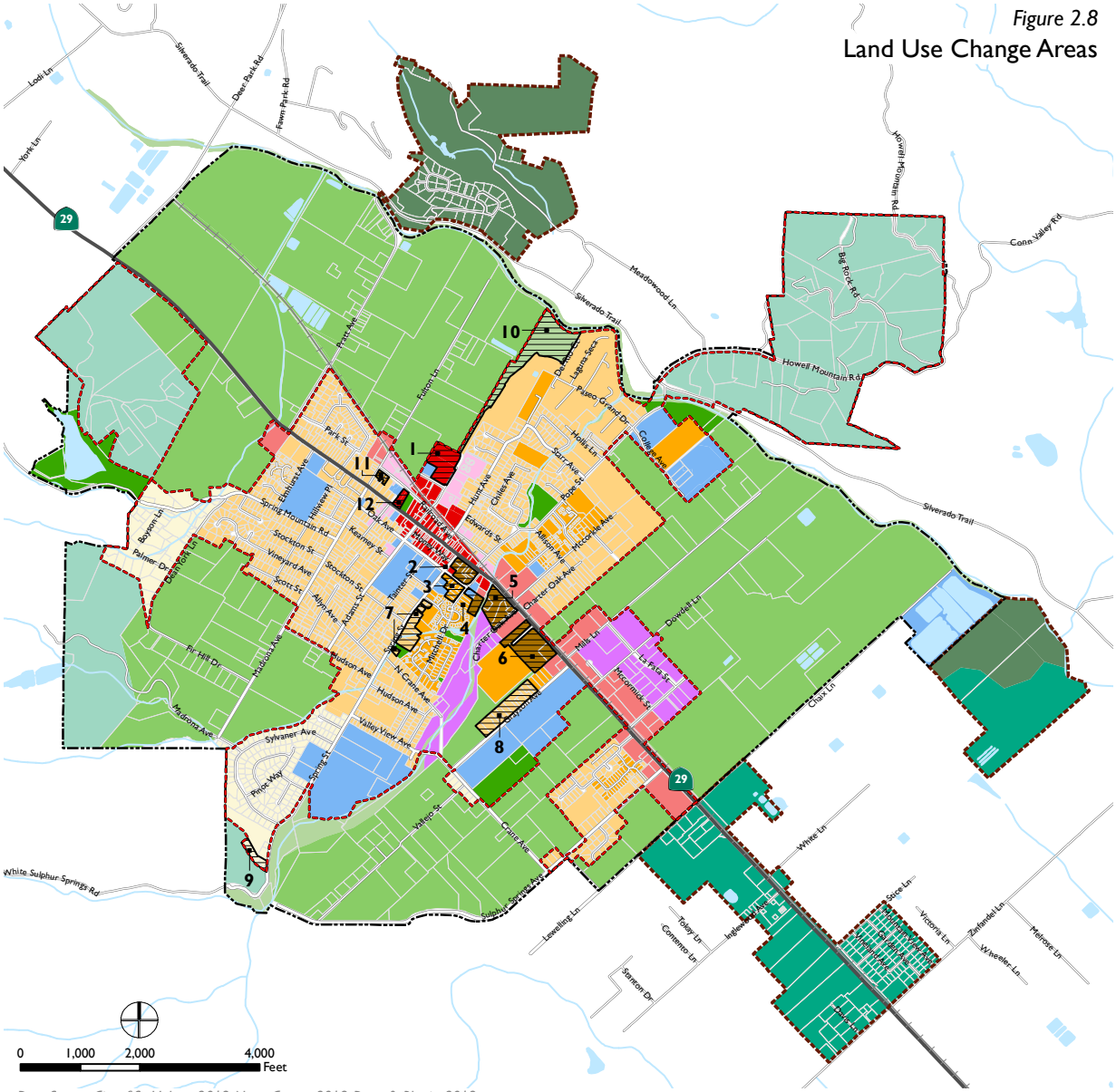
- Protect agricultural lands located outside the Urban Limit Line.
- Preserve agriculture, green, and open space within the Urban Limit Line to ensure the city maintains a rural and small-town character with sufficient "fingers of green", particularly in light of St. Helena's longstanding significant inadequacy of park land. (See Parks and Recreation Element).
- Focus new residential and commercial growth inward on appropriate infill sites.
- Maintain community character by requiring high-quality design and by avoiding "big box" development patterns and styles for commercial, industrial, and residential growth.
- Ensure that growth is sustainable for the long term and does not strain natural resources, services, or quality of life.

General Plan Change Areas

During the General Plan Update process 13 sites were identified for land use change, including sites for Mixed-Use, which is a new land use designation. These sites are located within the Urban Limit Line (with some minor shifts) and include parcels with commercial, mixed-use, and residential designations. Figure 2.8 shows the land use change areas that correspond to the list below.

1. **Adams Street and Library Lane (5.66 acres):** The proposed development program for the Adams Street property involves designating the entire site, with the exception of the library, as Central Business District. The library site will remain Public/Quasi Public. A modification of the Urban Limit Line is also proposed, which will increase the developable area by 2.83 acres and orient development along Adams Street.
2. **Main Street, Spring Street and Oak Avenue (2.61 acres):** M=Mixed-Use is proposed for this area to allow a mix of commercial, office, and residential development.
3. **Mitchell Drive and Oak Avenue-Northwest (2.04 acres):** High Density Residential is proposed for this area to allow for higher density development within walking distance to downtown.
4. **Mitchell Drive and Oak Avenue-Southeast Side (1.58 acres):** Mixed-Use is proposed for this area to allow a mix of commercial, office, and residential development.
5. **Main Street and Charter Oak Avenue (12.12 acres):** Mixed-Use is proposed for the eastern portion of the parcel and Industrial for the western portion of the property.
6. **Main Street and Vidovich Avenue (14.44 acres):** This parcel has a Mixed-Use General Plan land use designation, and the Vineland Station Hotel Project, a mixed-use project, has been approved for the location.

Figure 2.8
Land Use Change Areas



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

Change Areas

St. Helena Land Use

- Low Density Residential
- Medium Density Residential
- High Density Residential
- Central Business
- Service Commercial
- Mixed-Use
- Office
- Industrial
- Public and Quasi-Public
- Parks and Recreation
- Agriculture
- Open Space
- Woodlands and Watershed

Napa County Land Use

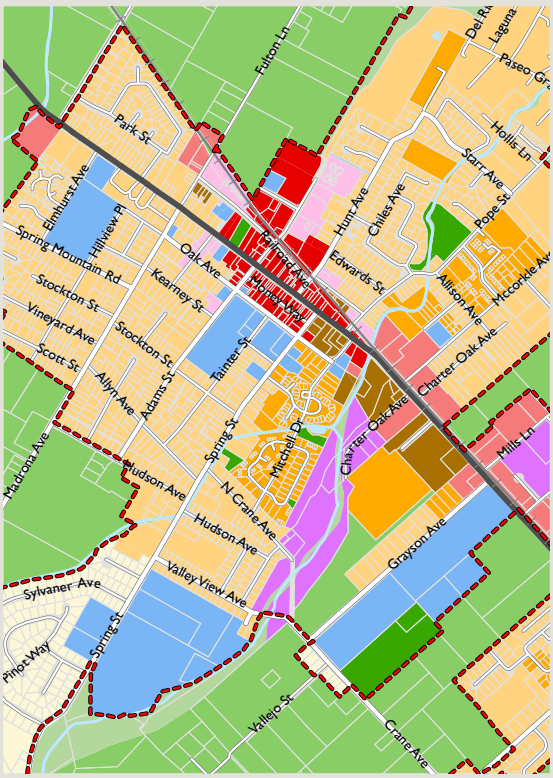
- Agricultural Resource
- Agriculture, Watershed and Open Space
- Railroad
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

GENERAL PLAN UPDATE
City of St. Helena

7. **Spring Street and St. James Drive (4.65 acres):** Medium Density Residential is proposed for this area to accurately reflect existing densities.
8. **Grayson Avenue (7.01 Acres):** Medium Density Residential is proposed on these parcels to allow more flexibility in density for this area.
9. **West end of Spring Street (14.31 acres):** This area includes a modification to the Urban Limit Line and an identical shift expanding the Low Density Residential area by 1.49 acres. This change is made to better reflect the flat portion of this parcel.
10. **Flood Control Project Site (15.7 acres):** Redesignate this parcel (the flood control project site) from Medium Density Residential to Open Space.
11. **Railroad Avenue (4 parcels):** Adjust the General Plan designation for parcels 1547 to 1569 on Railroad Avenue from Medium Density Residential to Mixed-Use.
12. **City Hall Site:** The Central Business District (CBD) designation is proposed for the property where City Hall is currently located.

CONCEPTS, TRENDS AND IDEAS

The Relationship between Land Use and Zoning



The General Plan Land Use and Growth Management Element establishes a broad vision and framework for land use in St. Helena. It sets forth policies and implementing actions that are intended to guide local decision-makers over the life of the Plan. In contrast, the Zoning Ordinance details specific standards and design guidelines to regulate development. The functions of these two planning tools are described in further detail below.

St. Helena's Land Use and Growth Management Element

- Defines and locates land uses throughout the City.
- Specifies acceptable building heights and densities per land use type.
- Describes the intent and direction of St. Helena's growth.
- Includes overarching, citywide development principles, goals and policies to achieve a high quality built environment.

St. Helena's Zoning Ordinance

- Regulates density (number of residential dwelling units per acre) and intensity (floor area ratio) of development.
- Specifies standards for site design, including open space, building orientation, massing, setbacks and relationship to the street and adjacent properties, parking requirements, and elevation.
- Provides incentives for affordable housing.
- Establishes allowed and prohibited uses.

Land Use Capacity

Several factors contribute to managing and guiding new growth in St. Helena. The General Plan Land Use and Zoning maps describe where different land uses are permitted and the intensity of development that may be allowed. The Land Use Change Areas map (Figure 2.8) and Housing Opportunity Site map (see Housing Element Figure 1.0) present locations where new development is likely to occur in the next 20 years. The Growth Management System limits the allowed number of new residential permits to a maximum of nine (9) new residential units per year. That represents a total of 72 units over the eight-year term of the Housing Element, which exceeds the City's 2015 to 2023 RHNA allotment of 31 total residential units. Established by the State of California in 1969, RHNA requirements directly influence how St. Helena considers population growth. The State Housing and Community Development Department (HCD) works with the various regional Councils of Governments (COGs) throughout the state to identify and allocate the supply of housing necessary to meet the existing and projected growth in population and households in California (also see the Housing Element).

St. Helena functions as a service center for surrounding towns and unincorporated areas.

2.3 Key Findings

There are several challenges and opportunities facing St. Helena related to land use and growth management. The following key findings are based upon comprehensive existing conditions analysis and community input.

- Regional growth forecasts prepared by the Association of Bay Area Governments (ABAG) in 2013 anticipate that St. Helena will add 400 new residents between 2015 and 2040. The City should be aware of long-term population projections when developing General Plan land use policies.
- The City's Residential Growth Management System limits residential growth in order to protect agricultural land and ensure that the City can provide adequate public services, natural resources, and infrastructure necessary to meet increased need.
- St. Helena experiences high commercial rents and, except for the 2008 and 2009 recession, relatively high demand for additional commercial and office space in the city. The demand for office space is again increasing, and commercial rents are increasing as a result.
- There are a number of light industrial and commercial areas with a potential for development or redevelopment, particularly in the vicinity of State Route 29 south of Sulphur Creek.
- In February 2005, the City adopted the Highway 29 Specific Plan, which outlines circulation changes, roadways extensions, traffic signal installations, and streetscape improvements along the State Route 29 corridor west of the Sulphur Creek Bridge.

- Despite its relatively small population, St. Helena functions as a service center, and provides public services for surrounding towns and unincorporated areas, including Meadowood, Madrone Knoll, Calistoga, Angwin, Deer Park, Rutherford, and the unincorporated area south of St. Helena. Through efficient land use planning, the City can ensure that St. Helena continues to serve this function while meeting the needs of its residents.
- Land use changes and development in the unincorporated areas adjacent to the city limits can have a significant impact on St. Helena. Close coordination with Napa County is essential for managing adverse impacts on St. Helena and coordinating City planning efforts accordingly.
- St. Helena has been successful in preserving agricultural lands within the city limits. The California Department of Conservation and Farmland Mapping and Monitoring Program identifies only one significant incidence of land converted from farmland to an urbanized use, which was the conversion of eight acres of farmland into an expansion of Crane Park. County-wide, most agricultural land conversions have been from rangeland or lower-value uses, such as orchards, to vineyards for wine production.

2.4 Goals

The goals of the Land Use and Growth Management Element are:

Manage Growth and Maintain Community Character.

St. Helena is committed to preserving its existing community character, maintaining agricultural lands, managing growth and the impacts of tourism, and ensuring that adequate infrastructure and facilities are provided.

Promote High-Quality and Sustainable Development.

St. Helena is dedicated to a high standard of quality, economic viability and ecological sustainability with respect to the design, planning, and construction of new and renovated public and private facilities.

2.5 Policies and Implementing Actions

A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. Growth Management;
2. Residential Neighborhoods;
3. Commercial Districts;
4. Industrial Districts;
5. Agricultural Uses; and
6. Public Facilities.

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together, they serve as strategic directions for City staff and partners, highlighting where time and resources should be focused.

topic area
1 GROWTH MANAGEMENT

Policies

LU1.1 Require new development to occur within well-defined boundaries and be consistent with the ability to provide urban services. New development should mitigate infrastructure impacts by using sustainable, best management practices in green building and stormwater management and paying its share of development impact fees, while minimizing impacts on sewer, water, energy, and natural resources.

LU1.2 Allow urban development to occur only within the Urban Limit Line. Consider an exception for on-site employee housing on Agricultural lands. Urban services, such as sewer, water, and storm drainage, will only be extended to development within the Urban Limit Line.

The Urban Limit Line may only expand when the amount of developable land within the Urban Limit Line is insufficient to implement the General Plan policies or when logical to include developed lands receiving urban services from the City. Expansion outside the Urban Limit Line should first be considered in Urban Reserve Areas. Expansion into other areas outside the Urban Limit Line should be considered only when the proposed land use is found to further the goals and long-term objectives of the City and does not result in adverse impacts to adjacent uses in either the urban or rural areas.

topic area
1 GROWTH MANAGEMENT

LU1.3 Support agricultural and low-intensity uses beyond the Urban Limit Line.

LU1.4 In order to minimize and postpone the need for expansion of the Urban Limit Line, encourage infill development within currently developed areas.

LU1.5 Require new development to provide adequate infrastructure and urban services, including compliance with the policies and implementing actions affecting new development as set forth in the Public Facilities and Services Element.

LU1.6 Support the redevelopment of vacant and underutilized sites within the downtown area with mixed-use development opportunities. Encouraging infill development with a mix of uses will support a pedestrian-oriented, vibrant retail and commercial district that is centrally located and easily accessible to residents and neighborhoods.

LU1.7 Continue to limit the approval of market rate residential development to the maximum allowed under the Growth Management System. Regulated affordable units and second units are exempt from this limitation.

Infill development is encouraged in order to postpone the need for expansion of the Urban Limit Line.

topic area
1 GROWTH MANAGEMENT

Implementing Actions

LU1.A In order to increase residential density and housing availability without requiring an extension of the Urban Limit Line, allow the conversion of single-family homes in central locations to duplexes or triplexes under appropriate circumstances and where the homes are in medium and high density zoning districts. Update the Zoning Code to implement this policy.

LU1.B Rezone appropriate sites with land use designations such as Central Business, Service Commercial, and Mixed-Use, in accordance with the General Plan Land Use Map. Include provisions to allow for compatible uses on the same site, either in one structure or adjacent structures. The mix of uses can be vertical or horizontal and can include attached residential development in keeping with the integrity of historic structures and historic districts.

LU1.C Continue to update the City's housing inventory to track the status of residential growth by unit type and affordability level.

topic area
1 GROWTH MANAGEMENT

LU1.D Review the City's housing needs every five to eight years in conjunction with updates to the Housing Element to reassess housing priorities for the future years.

LU1.E Restrict the use of housing units as short-term rentals, except for those allowed by the Short-Term Rental Ordinance.

LU1.F Evaluate the effectiveness of the Growth Management System and consider the need for revisions in light of the City's Housing Strategy. As part of this effort, study options for incorporating a mechanism to assess the relative benefits a proposed residential project brings to the community, such as through a community benefits program.

LU1.G Work with property owners and the Napa County Local Agency Formation Commission to study the benefits of annexing lands adjacent to the City of St. Helena, where the City owns and operates critical municipal infrastructure, including utility infrastructure, and/or provides municipal services, or where the provision of municipal services to replace wells and aging sceptic systems would improve public health.

LU1.H In the event that unincorporated areas are annexed to the City, advocate for favorable tax-sharing agreements that ensure that the City receives the revenues necessary to support the municipal services and infrastructure required in those areas.

The City's housing inventory should be regularly updated.

topic area
2 RESIDENTIAL NEIGHBORHOODS

Policies

LU2.1 Promote a mix of housing types and price ranges that are consistent with the Housing Element RHNA categories of housing affordability.

LU2.2 Encourage new residential development that is consistent in design, size, color, and floor area ratio (FAR) with the older residences in the neighborhood.

LU2.3 Protect residential neighborhood views of surrounding vineyards and mountains.

LU2.4 Encourage the subdivision and/or development of larger parcels as Planned Unit Developments to ensure a more comprehensive and creative approach to planning the development as a single unit. This does not prohibit use of Planned Unit Developments on parcels less than three acres.

LU2.5 Encourage the development of higher density housing in areas near the center of the city and close to recreation and services, such as transit, retail, and public facilities.

LU2.6 Allow residential density at the higher end of the permitted range for single family development within Medium and High Density Residential Land Use designations as long as the development character of the single family area is maintained, including lot widths, orientation to street, building heights, onsite parking, traffic, and noise, among other considerations.

LU2.7 Ensure safe, walkable, and bikeable residential neighborhoods and vibrant, livable streets.

LU2.8 Ensure walkable and accessible neighborhoods through mixed-use development.

A mix of housing types and price ranges allows choice for residents.

topic area
2 RESIDENTIAL NEIGHBORHOODS

Implementing Actions

LU2.A Update the zoning ordinance and map to be compatible with the General Plan land use map and designations.

LU2.B Develop and implement residential design guidelines and/or form-based codes, for single family and multiple family uses, to provide oversight and guidance for new buildings and renovations. Guidelines should ensure that new residential development is consistent with the design, size, and footprint of older residences in the neighborhood. Consider the impact of new development on surrounding residences.

(Also see the following elements: Community Design, Topic Area 3; and Economic Sustainability, Topic Area 3).

LU2.C Implement view shed protection review for residential development as part of an updated design review process.

LU2.D Continue to require residential developers to contribute to the provision of community facilities and services (e.g. parks, recreation facilities and programs, education facilities, traffic and transportation facilities, and services), consistent with State law requiring a nexus between project impacts and required mitigation.

LU2.E Update zoning standards to encourage the following criteria:

- A variety of lot widths and sizes, such as that found in the older areas of town;
- Garages at the rear of lots rather than on the street; or creative garage designs that incorporate the "garage door" frontage appearance to blend into the home;
- Lot coverage and floor area ratio (FAR) that is consistent with the scale of historic and older areas;
- Planting of street trees and planting strips along sidewalks; and
- Setbacks, building massing, and configuration consistent with older parts of neighborhoods.

topic area
3 COMMERCIAL DISTRICTS

Policies

LU3.1 Strengthen the downtown as the City's social and cultural core, and as the primary center of retail services. Facilitate a healthy mix of retail and commercial uses, residential development, entertainment, and lodging.

LU3.2 Enhance the pedestrian-oriented character of commercial areas and provide for convenient pedestrian and bicycle connections to encourage walking and reduce vehicle trips within the commercial area.

LU3.3 Support the redevelopment of auto-oriented commercial areas into pedestrian-friendly commercial uses.

LU3.4 Protect historic resources in the commercial areas and encourage appropriate rehabilitation and adaptive reuse.

LU3.5 Ensure that new retail and commercial development is compatible with and complementary to St. Helena's small-town image. In addition, within the City's Central Business District, new retail and commercial development should be of a scale and type that complements the historic character.

Downtown is the City's social and cultural core.

topic area
3 COMMERCIAL DISTRICTS

LU3.6 Continue to work with the County of Napa to review land use and design changes for projects in the unincorporated areas at the City's gateways.

LU3.7 Provide sufficient auto and bicycle parking in order to serve local businesses in the commercial districts. Ensure that all parking areas are well-designed and that auto parking spaces are hidden from pedestrian view, whenever possible.

LU3.8 Provide sufficient opportunities for offices that support the regional, agricultural-based economy and the local needs of the community.

LU3.9 In Mixed-Use, Service Commercial, and Central Business districts encourage residential and office uses in upper-story locations or locations along the periphery of the retail district. This will facilitate active and pedestrian-oriented commercial areas.

LU3.10 Encourage office development within Mixed-Use, Service Commercial, and Central Business districts to complement the pedestrian orientation of surrounding development.

LU3.11 Ensure that new commercial development does not obstruct view corridors to the mountains.

topic area
3 COMMERCIAL DISTRICTS

Implementing Actions

LU3.A Identify sites in the Central Business and Service Commercial districts for mixed-use development that are close to services and facilitate walking, bicycling, and transit use.

LU3.B Establish an inventory of all non-residential uses in the city and a program for monitoring future non-residential development. Combine this inventory with efforts to balance jobs and housing.

LU3.C Encourage retail services which do not require a consumer base larger than the population of St. Helena and its vicinity. For the purposes of the General Plan, "vicinity" is defined as the surrounding agricultural area for which St. Helena has historically provided goods and services, including Calistoga, Angwin, Deer Park, Meadowood, Madrone Knoll, Rutherford, and the unincorporated area south of St. Helena.

LU3.D Develop and implement commercial design guidelines and/or form-based codes to provide oversight and guidance for new buildings and renovations. Guidelines should ensure that new commercial development is consistent with the City's character, particularly in historic districts.

(Also see the Community Design Element, Topic Area 2)

topic area
3 COMMERCIAL DISTRICTS

LU3.E Prohibit retail commercial zoning on Main Street north of Pine Street.

LU3.F Limit the floor area and size of buildings in the Central Business and Service Commercial districts to ensure that new buildings are in scale with typical older buildings in the district.

LU3.G Pursue acquisition of 1301 Mitchell Lane to provide additional public parking facilities, or other City prioritized uses, in the Central Business District.

Sites within the Central Business and Service Commercial districts may be future locations for mixed-use development.

topic area
4 INDUSTRIAL DISTRICTS

Policies

LU4.1 Support and maintain a transitional zone around industrial areas to protect the health and safety of residential neighborhoods.

LU4.2 Support the development of industries that are consistent with viticulture and winery support services and similar, compatible uses. Support the role of the City as an agriculturally-based service center for the surrounding area, including Calistoga, Angwin, Deer Park, Meadowood, Madrone Knoll, Rutherford, and the unincorporated area south of St. Helena.

LU4.3 Ensure that industrial projects are designed and sited to provide a positive image of the community. Landscaping and setbacks should be used to enhance industrial buildings.

LU4.4 Ensure access to and from industrial areas that allows for safe and efficient circulation of goods and people.

topic area
4 INDUSTRIAL DISTRICTS

Implementing Actions

LU4.A Update the zoning ordinance and map to be compatible with the General Plan land use map and designations.

LU4.B Develop and implement industrial design guidelines and/or form-based codes, to provide oversight and guidance for new buildings and renovations. Guidelines should ensure that new industrial development is consistent with the City's character.

LU4.C Evaluate the compatibility of the Industrial Area and existing heavy equipment use between Highway 29 and Crane Avenue and determine if re-zoning or other action is necessary to ensure safety and liability, hazard, and noise reduction in surrounding neighborhoods, schools, and parks.

Industrial uses that support surrounding agricultural uses are encouraged.

topic area
5 AGRICULTURAL USES

Policies

LU5.1 Discourage conversion of existing farmland to non-agricultural uses.

LU5.2 Encourage the County to continue to promote agricultural uses and to limit further development in unincorporated areas surrounding the city.

LU5.3 Strictly limit development on properties existing at the time of the adoption of this General Plan that are designated as agricultural land.

LU5.4 Support community-based agricultural uses within the city, including community gardens, orchards, and parks.

LU5.5 Encourage the use of sustainable agricultural practices.

LU5.6 Permit wineries and other agricultural-related industries to locate in the city if their location does not adversely impact surroundings, uses, or city services (water, traffic, etc.) or the quality and character of the community.

The Urban Limit Line strictly limits development in order to protect agricultural uses.

topic area
5 AGRICULTURAL USES

Implementing Actions

LU5.A Update the zoning ordinance and map to be compatible with the General Plan land use map and designations.

LU5.B Continue to enforce the City's "right to farm" ordinance that protects the right of agricultural operations in agriculturally-designated areas to continue their operations, even though such practices may generate complaints from nearby established urban uses. Explore the feasibility of a notification system (such as flags, web-based information, etc.) for agricultural spraying so nearby residences can prepare accordingly.

LU5.C Explore the feasibility and desirability of implementing permanent agricultural protection for lands within the Urban Limit Line in the form of agricultural preserves.

LU5.D Identify sites for community gardens, orchards, and parks. Establish a program to maintain public areas within and surrounding community gardens and to administer the assignment of garden spaces and collection of use fees.

LU5.E Encourage local farmers to employ sustainable agricultural practices wherever possible. Support agricultural activities that incorporate best management practices related to sustainable agriculture, including participation in local programs such as the Napa Valley Vintners - Napa Green Program and the California Certified Organic Farmers certification program.

LU5.F Where proposed residential, commercial, or industrial development abuts lands devoted to agricultural use, require the non-agricultural uses to incorporate buffer areas to mitigate potential land use conflicts as a condition of approval for subdivisions or use permits. The type and width of buffer areas shall be determined by the City based on the character, intensity, and sensitivity of the abutting land uses. Prepare and adopt guidelines and regulations to

topic area
5 AGRICULTURAL USES

assist in the determination of the appropriate type and scope of agricultural buffer areas needed in circumstances that warrant the creation of such buffer areas.

LU5.G Evaluate all discretionary land use applications, rezonings, and/or General Plan amendments, including those outside the Urban Limit Line, to determine their potential for impacts on Prime Farmland, Unique Farmland, or Farmland of Statewide Importance mapped by the State Farmland Mapping and Monitoring Program and avoid converting these farmlands where feasible. Where conversion of farmlands mapped by the state cannot be avoided, require long-term preservation of at least one acre of existing farmland of equal or higher quality for each acre of state-designated farmland that would be rezoned or redesignated to non-agricultural uses. This protection may consist of establishment of farmland easements or other similar mechanism, and the farmland to be preserved shall be located within the city and preserved prior to approval of the proposed discretionary land use application rezoning, or General Plan amendment.

LU5.H Prepare and adopt guidelines and regulations to assist in the determination of the appropriate type and scope of agricultural buffer areas needed in circumstances that warrant the creation of such buffer areas.

LU5.I Establish a Farmland Mitigation Program for future development that requires the permanent protection of farmland at a 1:1 ratio of the amount of farmland converted. The program should include provisions for the acquisition of agricultural conservation easements and payment of in-lieu fees as potential methods of farmland mitigation, where eligible agricultural mitigation lands must be located within the State of California and be of comparable or better soil quality than the land being converted, and in-lieu fees are to be used for the acquisition of a conservation easement, including costs associated with the transaction and long-term maintenance.

Farmland protection may consist of establishment of farmland easements.

topic area
6 PUBLIC FACILITIES

Policies

LU6.1 Provide a wide-range of high-quality public facilities, including parks, multi-use trails, schools, fire and police services, water and wastewater systems, and community centers.

Implementing Actions

LU6.A Update the zoning ordinance and map to be compatible with the General Plan Land Use maps and designation and public facilities and services element.

LU6.B Pursue sites for future public facilities, including parks, consistent with projected growth.

LU6.C Explore the feasibility and desirability of moving public facilities to the Adams Street property.

LU6.D Install community amenities, such as public restrooms, drinking fountains, benches, and trash and recycling containers in commercial districts. Ensure that community amenities are designed and installed to complement surrounding businesses and support the pedestrian-orientation of the street.

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chapter three

economic sustainability

3 economic sustainability

St. Helena's Central Business District is located along Main Street with shops, cafes, restaurants and offices.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture and entertainment

3.1 Purpose of the Element

The Economic Sustainability Element is not a State-mandated General Plan element. This Element is included in the General Plan in recognition of the important role that economic sustainability plays towards achieving the overall community vision of meeting present needs without compromising the ability of future generations to meet their needs. By building on and protecting St. Helena's authentic small-town character, the Economic Sustainability Element establishes a path to enhancing the local quality of life while also valuing the role of visitors in the local economy. Policies and implementing actions in this Element should be considered in conjunction with policies in the other elements, particularly the Land Use and Growth Management, Circulation, and Public Facilities and Services elements.

The Economic Sustainability Element includes the following sections.

- **3.2 Economic Sustainability in St. Helena.** Defines and frames key economic sustainability issues (p. 3-3).
- **3.3 Key Findings.** Identifies key findings based on existing conditions analysis and extensive community outreach (p. 3-4).

- **3.4 Goals.** Defines overarching goals to guide policies and implementing actions (p. 3-7).
- **3.5 Policies and Implementing Actions**. Identifies policies and implementing actions to strengthen and enhance the local economy (p. 3-10).

3.2 Economic Sustainability in St. Helena

A sustainable approach to St. Helena's economy is intended to preserve the city's authentic, small-town character and quality of life, and leverage tourism to sustain its vibrant economy. The City strives to balance the impact of tourism with the desires of residents and business-owners, while recognizing the economic benefits that visitors bring, and the potential for tourism to contribute to the diversity of the community's social and cultural life. Creating a long-term, proactive approach to define and achieve local economic priorities will help the City remain economically viable in the future while giving consideration to infrastructure, water, and housing.

Developing a reputation for transparency in governance, characterized in part by predictable, streamlined processes that include built-in checks and balances and, to the extent possible, reduced uncertainty associated with required discretionary actions, will also help further economic development and sustainability in St. Helena. By improving its reputation as a service-oriented City government, St. Helena will improve its ability to attract and retain businesses that are compatible with the city's goals.

3.3 Key Findings

There are several challenges and opportunities facing St. Helena related to economic sustainability. The following key findings are based upon a comprehensive existing conditions analysis and community input, as well as the 2007 Local Economy and Economic Development Background Report.

- St. Helena has historically exhibited slow population, household, and housing growth.
- St. Helena's authentic small-town character, historic resources, and agricultural heritage are assets that enhance economic opportunities for local businesses. Protecting, promoting, and enhancing these resources is a critical for St. Helena's economic sustainability.
- Housing affordability is an important issue in St. Helena and housing availability is a key constraint to further local economic development. Increasing the supply of housing – and particularly of workforce housing – is critical to St. Helena's long-term economic sustainability.
- Revenue generation for the City is a key factor of economic sustainability and having retail on the ground floor of commercially-zoned parcels will help advance this objective.
- Commercial space is in limited supply in St. Helena and correspondingly high commercial rents impact the ability of businesses supplying everyday goods and services to locate or stay in St. Helena. Non-retail uses occupying ground-floor retail spaces, such as real estate offices, further drive up demand and rents for commercial space in St. Helena. Limiting the non-retail use of ground-floor spaces in key commercial areas may provide a more supportive environment for commercial uses that meet residents' everyday shopping needs. However, this must be weighed against the potential for vacancies to adversely affect the vibrancy of other businesses in the area.
- Consultations with the business community in St. Helena revealed that local businesses require the support of both local residents and visitors in order to thrive. Therefore, a balanced economic development approach that seeks to meet the needs of local residents while also recognizing that a substantial portion of the local employment base and the City's revenue base is depen-

The community supports maintaining locally owned and operated businesses, such as Steve's Hardware and Houseware.

dent upon the flow of tourism dollars to St. Helena will help the City establish a stronger Central Business District.

- Outreach efforts have indicated broad support in the community for maintaining the City's existing prohibition of formula restaurants, outlet and chain stores, and large-scale retail businesses to ensure that St. Helena's businesses continue to complement its distinctive small-town character.
- Local business leaders have expressed concerns regarding traffic issues in St. Helena and the availability of proximate parking for their employees. Local business leaders are also concerned about the City's water supply and policies. Addressing these challenges will be essential if the City is to achieve its long-term economic sustainability goals.
- The wine industry is the key driver of the economy of the entire Napa Valley. Continuing to support the wine industry is essential to maintaining the economic health of the community and the Napa Valley. Furthermore, diversifying St. Helena's economy to create new, compatible commercial activities and employment opportunities beyond the wine industry can greatly strengthen the economic vitality of the City.

3 economic sustainability

- Tourism by the wine industry supports local businesses, the incomes of many local households, the wineries and agricultural operations of the Napa Valley and local government revenues. The Napa Valley's draw as a tourism destination will impact St. Helena regardless of local policies.
- Sustainable tourism practices that have a low impact on the environment and local culture, while helping to generate future employment for local people will allow St. Helena to enjoy the economic benefits of tourism while maintaining the city's authentic, small-town qualities.
- Economic development opportunities for St. Helena lie in low-impact, high-end tourism, as well as economic diversification in other sectors for which the city has competitive advantages, such as the arts, healthcare, and financial services sectors.
- St. Helena serves as a commercial and business center for the surrounding towns and unincorporated areas, including Calistoga, Angwin, Deer Park, Meadowood, Madrone Knoll, Rutherford, and the unincorporated area south of St. Helena. However, the collective population base of St. Helena and surrounding unincorporated communities is still not sufficient to support some types of commercial retail and services. Residents will continue to travel to larger communities, like the City of Napa or beyond, to shop for certain types of goods and to obtain certain services.

3.4 Goals

The goals of the Economic Sustainability Element are:

Meet Residents' Needs.

St. Helena is dedicated to meeting the basic needs of residents of the city and surrounding service areas, including Calistoga, Angwin, Meadowood, Madrone Knoll, Deer Park, Rutherford, and the unincorporated area south of St. Helena. The City recognizes that residents will continue to travel to larger cities in the region for certain goods and services. Through its adopted local policies and actions, St. Helena will strive to increase the proportion of residents' employment, housing, entertainment, and basic shopping and services needs that can be satisfied locally.

Create and Implement an Economic Sustainability Strategy.

It is imperative that St. Helena create and implement an Economic Sustainability Strategy that will serve as a "roadmap" to achieve the city's goal of economic sustainability. This strategy should include a framework within which the effects of policies and actions can accurately be measured and tracked, as well as forecasted into the future. Specifically, the City should create a short- and long-term economic model that aids in estimating the impacts, benefits, and costs that local policies and actions, as well as outside micro and macroeconomic forces, may have on the local economic environment. This model should also consider and incorporate long-term enhancements to local quality of life and the environment as well as metrics for measuring such elements.

Tourism generated by the wine industry supports local businesses throughout St. Helena.

CONCEPTS, TRENDS AND IDEAS

Sustainable Economic Development

Smaller cities, like St. Helena, often employ local economic development strategies to increase their economic capacity and prosperity. Local economic development approaches reach beyond traditional business attraction and retention and growth models to include longer-term enhancements to the local economy and prosperity into the future. Typical measures can include strategies to minimize retail leakage, support local artisans and small business owners, and enhance workforce development programs in key sectors of the local economy. In addition, local economic development models emphasize strengthening ties between the private, public and non-profit sectors to ensure a collaborative approach to creating better conditions for economic growth and investment.

A sustainable economic development strategy builds upon traditional and local economic development models to include long-term enhancements to local quality of life measures and the environment. In this way, economic sustainability extends the scope of economic growth models beyond the goal of achieving annual fiscal gains. Implementation approaches and measures vary according to the needs of the local economy, but may incorporate additional emphasis on local arts and cultural expression, educational improvement, public health and environmental sustainability.

Local economic development (LED) strategies include supporting local businesses and niche markets, such as culinary businesses and wineries.

St. Helena is dedicated to enhancing local-serving businesses that meet residents' needs.

Balance the Benefits and Effects of Visitors.

St. Helena will promote sustainable tourism practices that allow the City to enjoy the economic benefits of visitors to the region while maintaining the authentic small-town quality of life.

Generate Revenue.

St. Helena will promote economic development initiatives that generate diversified revenues to support local services and move towards greater self-sufficiency. Increased revenue generation for St. Helena is key to achieving other goals for the community, as without additional financial resources the City's abilities to pursue and achieve such goals is limited.

3.5 Policies and Implementing Actions

A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. Economic Diversification;
2. Sustainable Tourism; and
3. City Government

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together, they serve as strategic directions for City staff and partners, highlighting where time and resources should be focused.

topic area
1 ECONOMIC DIVERSIFICATION

Policies

ES1.1 Maintain central St. Helena as the social, cultural, and economic heart of the City by supporting infill and redevelopment of vacant and underutilized parcels in the central St. Helena area.

ES1.2 Identify and expand economic sectors in which the City has competitive advantages, and capitalize on these strengths in order to diversify local economic activities and strengthen St. Helena's role as an agriculturally-based service center for the surrounding area.

ES1.3 Ensure the long-term infrastructure needs and priorities of the community are met as part of an economic approach to economic vitality and sustainability.

(Also see the Public Facilities and Services Element for policies and implementing actions related to infrastructure)

ES1.4 Encourage the creation of workforce housing to support the local employment base in keeping with small town smart growth.

(Also see the Housing Element, Topic Area 1)

ES1.5 Encourage commercial uses that provide basic, everyday shopping and services for residents.

ES1.6 Support local arts, cultural activities, and entertainment that can contribute to the local economy.

(Also see the Arts, Culture, and Entertainment Element)

Central St. Helena is the social, cultural and economic heart of the City.

topic area
1 ECONOMIC DIVERSIFICATION

Implementing Actions

ES1.A Develop, adopt, and implement an Economic Sustainability Strategy that addresses economic diversification and sustainability, as well as local fiscal and infrastructure priorities. This strategy will include the development of the necessary tools to implement the strategy.

ES1.B Update the Municipal Code to (a) encourage to the extent feasible businesses that are complementary to St. Helena's small-town character and that provide a range of goods to local residents; (b) define and permit non-chain, discount type stores while maintaining the existing provisions in the Municipal Code that prohibit formula restaurants, outlet, and chain discount-type stores, and retail businesses over 10,000 square feet in size; and (c) limit certain non-retail uses, such as real estate offices, from occupying ground-floor retail space in Central St. Helena.

(Also see the Arts, Culture, and Entertainment Element, Topic Area 4).

ES1.C Develop a strategy to increase funding and resources to support arts and history as part of the City's overall economic development program. Additional policies and implementing actions regarding support for the arts may be found in the Arts, Culture, and Entertainment Element.

ES1.D Consider the establishment of a Business Improvement District.

ES1.E Provide development incentives for new visitor-serving businesses to develop affordable workforce housing either through construction of housing or payment of an appropriate in lieu fee to develop housing elsewhere in the city. Such incentives shall include consideration of visitor-serving uses in Medium Density Residential or Higher Density Residential where a project provides affordable housing or an appropriate payment of an in lieu fee.

Events, such as concerts in the park, support the economy while strengthening the local social fabric.

topic area
2 SUSTAINABLE TOURISM

Policies

ES2.1 Support the development of responsible, visitor-serving components to the City's economy as a valuable source of jobs, tax revenues, and cultural amenities. Promote policies that facilitate and encourage this type of sustainable economic development.

ES2.2 Encourage visitor-serving uses oriented toward an upscale market, consistent with the Valley's reputation as a producer of world-class wines. Discourage the introduction of uses that are dependent upon a mass tourist market.

ES2.3 Ensure a diverse mix of uses that avoids an over-representation of any particular use. Remove the cap on the number of hotel and motel rooms and restaurant seats but continue to limit vacation rentals.

ES2.4 Encourage green transportation options to circulate people throughout the community. Promote sustainable modes of travel and reduce the number and length of vehicle trips generated by visitors to the community.

ES2.5 Encourage socially and environmentally responsible businesses that make positive contributions to the community and operate in an environmentally-sound manner.

ES2.6 Expand lodging in the downtown area to encourage walking, biking, and alternative transportation modes in order to reduce the need for automobile trips.

(Also see the Circulation Element, Topic Area 4 for policies and implementing actions related to non-motorized transportation).

ES2.7 Do not legislate or restrict the number of restaurant seats, but continue to prohibit formula restaurants.

Visitor-serving businesses bolster the City's economy and bring jobs, tax revenues and cultural amenities.

topic area
2 SUSTAINABLE TOURISM

Implementing Actions

ES2.A Continue to prohibit formula restaurants, chain discount stores, and time-share lodging projects (excluding Fractional Ownership Lodging). Consider destination membership clubs and other potential lodging options that contribute to the Transient Occupancy Tax (TOT) revenue stream subject to a conditional use permit.

ES2.B Study and recommend guidelines for permitting lodging uses in a range of land use designations, and ensure that the requested uses will not result in significant adverse impacts to the community while recognizing that the hotel taxes provide a valuable source of revenue for the City. Remove the cap on the number of hotel and motel rooms.

ES2.C Provide and maintain public restrooms in the Central Business District.

topic area
3 CITY GOVERNMENT

Policies

ES3.1 Establish and maintain an Economic Sustainability Strategy as well as related and necessary tools including, but not limited to, a short- and long-term economic, quality of life, and environmental forecasting model.

ES3.2 Establish and strengthen the reputation of St. Helena's City Government as customer service-oriented and as being business friendly.

ES3.3 Ensure clarity, transparency, and efficiency in local regulations, permitting processes, and fee structures.

ES3.4 Encourage partnerships between the City and private and nonprofit organizations to promote economic sustainability in St. Helena.

ES3.5 Support cultural diversity through economic sustainability initiatives.

topic area
3 CITY GOVERNMENT

Implementing Actions

ES3.A Continue Planning Department technical assistance for new projects.

ES3.B Develop a revised design review and/or form-based code process for commercial and industrial uses that establish objective design guidelines and restrictions.

(Also see the following elements: Community Design, Topic Areas: 2 and Land Use and Growth Management, Topic Area 3)

ES3.C Explore hiring or retaining economic development planning expertise to assist in creating and maintaining an Economic Sustainability Strategy and associated and necessary tools. Partner with the local business community to ensure that the program effectively meets participants' needs.

ES3.D Facilitate and fast track projects generating significant City revenue that will not adversely impact the City's resources and are consistent with the General Plan, Municipal Code, and CEQA.

ES3.E Encourage partnerships between the City and private and/or nonprofit organizations to enhance the City's economic sustainability.

ES3.F Consider leveraging City resources as feasible to enhance the City's economic sustainability.

Partnerships between the City and private and nonprofit organizations can promote economic sustainability.

chapter four

public facilities and services

4 public facilities and services

Public services that support St. Helena residents include water, sewer, storm drainage, solid waste collection, schools and libraries.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture and entertainment

4.1 Purpose of the Element

The Public Facilities and Services Element presents a framework for the City to provide services, amenities, and infrastructure for today's residents and businesses, as well as future generations. The policies and implementing actions aim to improve community services facilities, physical infrastructure, and a range of public utilities and services to best meet St. Helena's needs.

The Public Facilities and Services Element includes the following sections.

- **4.2 Public Facilities and Services in St. Helena**. Summarizes public facilities and services provided by the City of St. Helena (p. 4-3).
- **4.3 Key Findings**. Identifies key findings based on an existing conditions analysis (p. 4-18).
- **4.4 Goals**. Defines overarching goals to guide policies and implementing actions (p. 4-22).
- **4.5 Policies and Implementing Actions**. Identifies policies and implementing actions to provide services and maintain the City's physical infrastructure (p. 4-23).

4.2 Public Facilities and Services in St. Helena

From water supply and flood management to K-12 education, the City of St. Helena and its partners manage an array of public facilities and provide numerous services to support City residents and businesses, as well as neighboring communities. This network of facilities, services, and infrastructure is essential to support the City's quality of life and its ability to accommodate any potential future growth. As California explores solutions to its water supply shortages, the reduced capacity of its landfills, and limited resources to provide quality education and community services for all residents, St. Helena and local jurisdictions throughout the state are faced with many challenges. This section summarizes the key issues in public facilities and services for St. Helena.

WATER

Water Supply

The City has three sources of potable water: Bell Canyon Reservoir, water purchased from the City of Napa, and groundwater. The City extracts potable water from two groundwater wells at its Stonebridge Well Complex located near the Napa River, south of Pope Street. The City also has two sources of non-potable water: Lower Reservoir on York Creek and a groundwater well just north of the access to the Pope Street Bridge. The non-potable water is used almost exclusively for irrigation. The City also owns a capped well on its Adams Street property. This well is a potential future source of groundwater and potentially, if treated, of potable water.

Bell Canyon Reservoir is the City's primary source of potable water, and the City has the right to divert and store 3,800 acre-feet (AF) at Bell Canyon, although the available physical storage is significantly less than that amount. Bell Canyon is an on-stream reservoir with a physical storage capacity of approximately 1,800 AF. This amount of water is physically available only when all hydrologic and hydraulic conditions are optimal for surface water diversions. In some years, lower amounts will be available due to low rainfall or rainfall occurring

Bell Canyon Reservoir is the City's primary water supply source.

more episodically than continuously. Further, the amount that operationally can be withdrawn from storage in any year is less than the amount in true storage due to the need to carry significant storage over from one year to the next to augment total supply in dry years. At the same time, planned infrastructure improvements at Bell Canyon, including electronic equipment and related improvements that permit accurate monitoring of inflows and outflows in real time, could enhance the annual yield from the reservoir.

Water from Bell Canyon Reservoir is treated at the Louis Stralla Treatment Plant, located near the reservoir. The plant has a treatment capacity of 4.3 million gallons per day (mgd). The plant typically operates at 3.5 mgd, less than peak demand.

Lower Reservoir is an off-stream reservoir with a physical capacity of between 200 and 225 AF. The City has a pre-1913 claim to store up to 160 AF in this reservoir. However, the City has no facility to treat water from Lower Reservoir. About 50 AF per year from the reservoir has been used for irrigation by Spring Mountain Winery and by RLS Middle School. The City has also supplied Lower Reservoir water to local contractors for construction purposes.

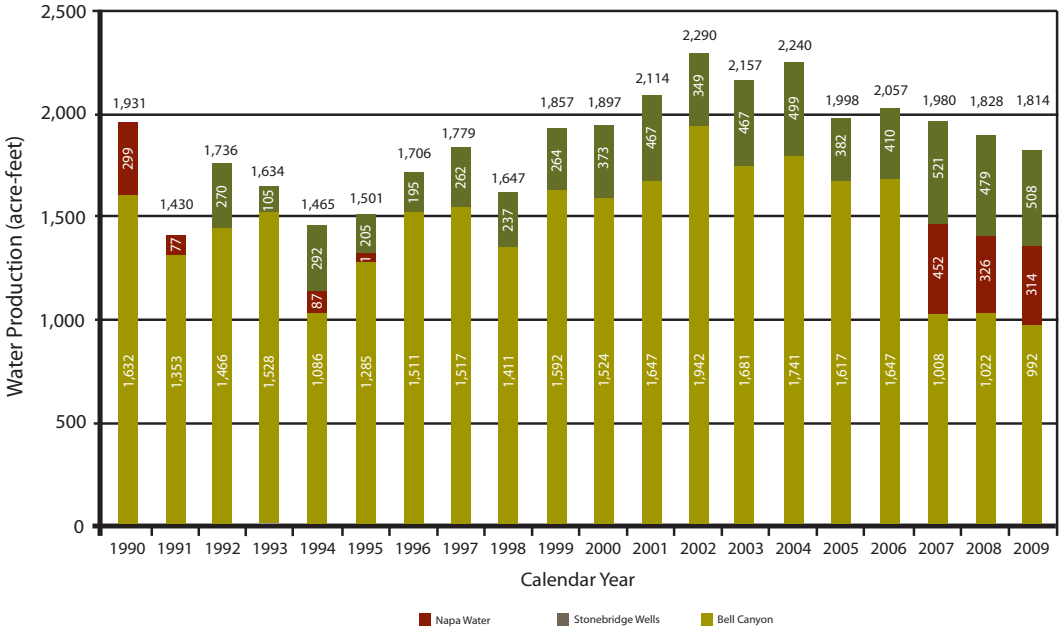
The City treats water produced at its two groundwater wells at the Stonebridge Well Complex (Stonebridge Wells Nos. 1 & 2) at a small treatment plant near the wells. These wells are located near the Napa River, south of Pope Street. The City typically operates both wells at the same time. A third well, also near the Napa River but just north of Pope Street, provides untreated water that is used for irrigation in nearby areas, including Jacob Meily Park. The City routinely monitors the elevation of the aquifer in the area of the City wells. The spring and fall elevation levels have declined since Stonebridge Well No. 1 went into production in 1992. While the decline is disconcerting, the City is not able to assess the long-term significance without further study.

The City also purchases significant water quantities from the City of Napa, having entered into a long-term water supply agreement for that purpose in September 2006. The delivery terms were materially revised in April 2009 (Amendment No. 1) and in November 2011 (Amendment No. 2). The initial term of the contract expires on December 31, 2035. Under the revised delivery terms, through the year 2035, Napa is required to deliver 600 AF of water per year to the City of St. Helena and the City is required to take and pay for 600 AF each year. The City has the option to purchase additional water from Napa (above the 600 AF) if Napa has the water to sell.

Water purchased from the City of Napa is much more expensive than water produced by the City from Bell Canyon or the City Wells. In 2012, the annual cost of 600 AF was approximately $1.2 million. The price escalates at the rate of 3 percent per year (subject to some potential adjustment). At the same time, the reliability of Napa water (as Napa must deliver 600 AF in all years) provides much needed assurance that the City will receive significant water in drought years when relying mainly on water from Bell Canyon could be problematic and groundwater production would not otherwise be sufficient to avoid a serious or even extreme water shortage.

As can be observed in Figure 4.1, the annual yield from Bell Canyon in recent years is significantly less than in prior years. Primarily because more water has flowed through to the Napa River to support fish. Most recently, Napa water has become an increasing percentage of St. Helena's total supply, as increased deliveries under the Napa contract are impacting the total mix. The City is also seeking to reduce its withdrawal of groundwater in non-drought years, in order to give the aquifers in the area of the Stonebridge Well Complex an opportunity to recharge.

FIGURE 4.1: St. Helena Historical Annual Water Production



Distribution System

The existing distribution area covers a large area inside and outside of the city limits. The network extends from Lodi Lane, two miles north of the city, to Niebaum Lane, in the unincorporated community of Rutherford, three miles south of the city.

In 2015 the City provided water to service to approximately 2,312 connections. Of those, 348 connections are located outside the City's jurisdictional boundary. Figure 4.2 shows the distribution of customers on the City's water system. All 18 industrial customers are, with one exception, wineries. "Other" water consumers include institutional users, such as churches and schools. Customers outside city limits include residential, commercial, and industrial customers.

Like all water suppliers, the City has had some "unaccounted-for water loss." Unaccounted-for water loss is the difference between the metered quantity of water produced or purchased by the City and the metered quantity of water sold to all City customers. Unaccounted-for water is therefore not available for sale ("unavailable water").

Unavailable water is attributed to unmetered water lost due to leaks, unauthorized use, firefighting (including flushing of hydrants), system maintenance, and inaccurate meters. As the City has completed replacement of customer meters, and has also undertaken significant meter improvements at the Louis Stralla Treatment Plant, the City believes that most unavailable water is occurring under the streets in its aging distribution system. This is a difficult, expensive, and long-term issue to resolve. The City recognizes that it must maintain unaccounted-for water loss at an acceptable level in its municipal systems.

Water Demand

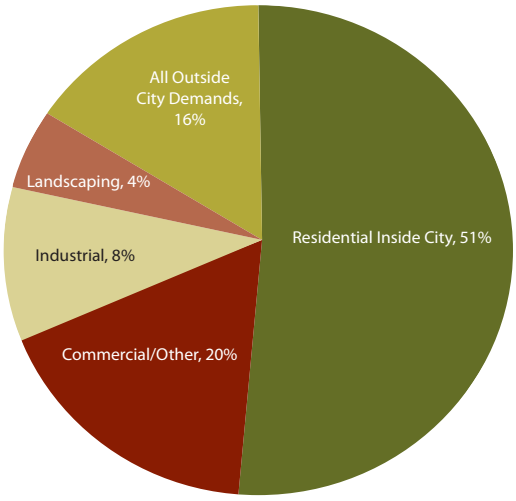
Total existing metered potable water demand averaged about 1,900 acre-feet per year between 2000 and 2015 and has declined in recent years due to improved water use efficiency and short-term demand reductions. Meaningful savings have been observed in residential water consumption (which is also the largest category of user, as seen on Figure 4.2). General commercial and

industrial (winery) usage, when added together, have also significantly declined in recent years, including in low rainfall years. For land uses outside the city limits, metered potable water demand averaged 142 acre-feet per year based on average water demand for 2002-2008.

The Safe Annual Yield of the Water System

Experience has showed that the City has inadequate water to supply customer demand without imposition of water emergency restrictions in recent years, which has led to the establishment of a "Safe Annual Yield" of the Water System. Often "safe yield" is thought of as that supply that can be reliably delivered under worst-case (drought) conditions. However, it was also apparent that under such an approach, the demand on the City's water system, even at the reduced levels of recent years, exceeded the "safe annual yield," if so defined. Such an inflexible approach was viewed as too restrictive for planning purposes.

FIGURE 4.2: Metered Potable Water Demands 2002-2008, Percent Distribution



In consequence, the City undertook to establish its own definition of "safe annual yield," as follows: "The safe annual yield of the St. Helena water supply system is that quantity of water which can be reliably delivered on an annual basis through most rainfall years, including a Dry Year (rainfall at 22" to 25.9"), without undue hardship on water customers through water shortage restrictions." The City defined "undue hardship" as "three or more consecutive months of Phase II water restrictions or Phase III water restrictions." The water restriction phases are those as stated in a water emergency ordinance adopted by the City in the fall of 2011. It is recognized that the annual safe yield, as so defined, could place significant hardship on water customers in a Critically Dry Year (rainfall at 21.9" or less) or in periods of two or more consecutive Dry Years.

The calculation of safe yield is made according to the above definition using an estimate of water available from the City's three sources under current operating conditions and under the rainfall conditions included in the definition. It is assumed that groundwater withdrawals will not exceed 450 AF in normal years (ideally withdrawals should be significantly less than 450 AF). It assumes that the City will purchase 600 AF each year from the City of Napa, in accordance with its contractual commitment, as described above. It takes into account the storage and bypass requirements that the City must follow at Bell Canyon. On the demand side, the estimated demand equals total water actually supplied (including unavailable water) averaged over the past five years. A five-year average seeks to even out anomalies that can impact yearly demand, especially due to wide variations in rainfall that can occur from year-to-year. The City recognizes that it might need to adjust the inputs into the safe yield calculation based on new information. For example, the annual safe yield would increase if the City were to acquire a significant new source of water supply. The annual safe yield could decrease if the City finds that it cannot sustainably withdraw water from the City production wells at current levels.

Based on water supplies available in 2013, the City estimated that the safe annual yield of its water system is 1,950 AF. With average five-year demand (which must include unavailable water) less than the annual safe yield in 2013, the City calculated that its water surplus was 80 AF. Citywide demand has shown a declining trend since 2002, mainly due to the decline in residential water demand.

Water Shortage Emergencies

In 2011, the City adopted a Water Shortage Emergency Ordinance, which incorporated the definition of annual safe yield, and requires a yearly calculation of the annual safe yield. If the City's water balance pursuant to the safe yield calculation is in deficit, then the City must comply with Phase I water restrictions. Most importantly, this requires that any new water demand, such as from a new project, must be completely offset by a reduction in current water demand, to the satisfaction of the Director of Public Works. Phases II and III involve the imposition of mandatory water restrictions on customers. If Phase II appears imminent, the City Council must appoint a Water Board which, if Phase II is implemented, will work with the Director of Public Works to ensure compliance by all sectors (residential, commercial, and industrial) with Phase II restrictions. Phase III restrictions are severe.

Water Supplies

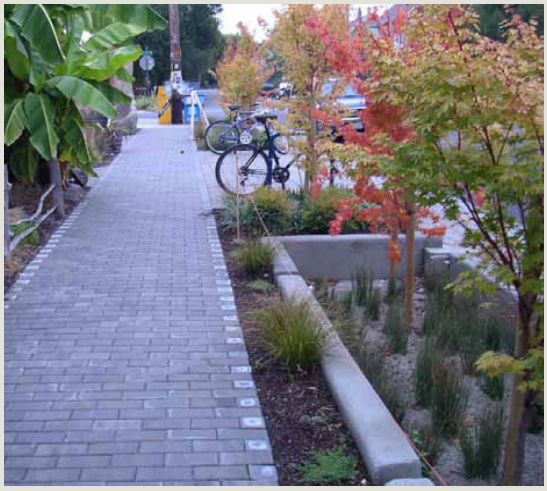
The City needs to obtain new water supplies and/or achieve more water savings, even under current conditions in order to reliably meet the current and future water demand. At the same time, the City recognizes that any new water supply, even if forthcoming, is likely to be expensive, potentially increasing the unit cost of potable water. Thus, the main emphasis going forward will be on conservation, seeking to reduce demand by all classes of users.

Water Recycling Potential

The City recognizes the imperative to recycle water and the value of putting recycled water to beneficial use. The demand for recycled water is likely to be highest during the driest months when flows into the City's sewage treatment plant are at their lowest. This means that, under current conditions, recycled water could not be a meaningful factor in augmenting supply for non-potable use without the addition of substantial storage capacity. It would be necessary to provide recycled storage, pumping, and distribution facilities that includes, at minimum, 400 AF of storage. The City does not own land at a location suitable for such storage capacity, and at this time the cost of purchasing land and constructing such storage, a large capital cost, would not be fiscally justifiable to the water system's rate payers.

CONCEPTS, TRENDS AND IDEAS

Green Infrastructure



By imitating natural hydrologic processes, "green infrastructure" helps to manage stormwater and improve overall watershed health.

Interconnected networks of natural environments, open spaces and landscaped areas provide essential services and livable qualities for our communities. By mimicking natural hydrologic processes in these areas, "green infrastructure" is an integrated set of strategies and improvements that can help to manage stormwater and improve overall watershed health, reducing the need for costly enhancements to built infrastructure. Green infrastructure approaches include vegetated swales, green roofs, rain gardens, daylit creeks, preserved and undeveloped spaces, permeable paving, and the incorporation of other features into community and street design. These improvements can substantially help to manage stormwater runoff, improve water infiltration, reduce flows and improve water quality.

By incorporating green infrastructure into the City's existing built and natural landscapes, St. Helena can simultaneously improve the efficiency of stormwater management, reduce flood risks, enhance the City's design character and protect natural communities and wildlife. Importantly, green infrastructure can also significantly reduce demand on the City's stormwater drainage system, minimizing the need to construct expensive pipe systems.

SEWER

Collection System

The City provides sewer service to approximately 1,726 connections, of which 75 percent are residential. All sewer connections are located within city boundaries, with no out-of-agency boundary sewer services provided. About 300 dwelling units and three wineries are on individual disposal systems, most of them too remote to reach the City's sewer system. With the exception of the original town site, which has four-inch sewer lines, most of the City is served by pipes adequately-sized for dry weather flows. During the winter rainy season, surface and ground water infiltration increases flows by eight times. In several areas of the city, the sewer system suffers from defects which prevent free flow of sewage, resulting in backwater in the system. One lift station exists at the Crinella development in the northeast quadrant east of Main Street. The remaining system operates by gravity.

Treatment Plant

The wastewater treatment plant (WWTP), including its integrated pond system, is located in the southeast corner of the city, near the Napa River. There are a series of ponds that treat the effluent to a secondary level, and the treated effluent is then sprayed onto a field owned by the City just south of the ponds. While the City's permit allowed for discharge into the Napa River under very limited conditions, the City seeks to minimize discharges directly into the river.

In the past, wastewater discharges to the Napa River have exceeded the established limits for biochemical oxygen demand (BOD) and total suspended solids. Constructed in the 1960's, the WWTP is required to meet new wastewater treatment standards set forth by the Regional Water Quality Control Board (RWQCB), which mandate additional treatment of wastewater in order to meet stricter environmental requirements. Under a Cease and Desist Order from the RWQCB, the City is required to phase in the improvements to the wastewater treatment plant by 2021. As part of the project, the city will evaluate the options for improving the facility in order to meet the new requirements.

Working with City Council and sewer service ratepayers in St. Helena, the City will determine a strategy to meet the new requirements, develop the required design and engineering documents, and construct the needed improvements.

Storm Drainage

The City is divided into two major subwatersheds, York Creek and Sulphur Creek. Both watersheds drain into the Napa River watershed. The following section provides an overview of the two major components of the City's drainage system.

For additional discussion of flood potential in St. Helena and for policies to reduce flood incidence and minimize flood impacts, see the Public Health, Safety, and Noise Element.

York Creek Subwatershed

The approximately 7.2-mile-long York Creek has a 4.4-square-mile subwatershed that includes the Upper and Lower York Creek reservoirs. Runoff north of Pratt Avenue is conveyed to York Creek through a number of culverts and ditches, then into the Napa River north of the Pratt Avenue Bridge. Built at approximate Stream Mile 2.5, the Upper York Creek Dam (UYCD) stretches 140 feet across the channel and stands 50 feet high. The UYCD was built in 1900 to supply water to the City. Operations were halted in the 1980s due to acquisition of other water sources and ongoing issues with sedimentation. Water is no longer stored at UYCD, and the City is actively working on a project to remove the dam and restore the creek in this area.

(See Open Space and Conservation Element).

The City has five public schools including the St. Helena Elementary School.

Sulphur Creek Subwatershed

The Sulphur Creek subwatershed area is 9.3 square miles. Sulphur Creek's one major tributary, Heath Canyon Creek, joins the main stem of Sulphur Creek immediately before it exits Sulphur Canyon and begins to flow across the Valley. Heath Canyon and Sulphur Creek have a combined channel length of approximately 12.7 miles. The lower 1.5 miles of Sulphur Creek flow through the City of St. Helena. Sulphur Creek then flows into the city from the west along Sulphur Springs Road, and then runs east to its confluence with the Napa River, near the Pope Street Bridge. The lower reach of Sulphur Creek is referred to as the historic gravel mining reach due to the historic gravel mining activities that occurred and the resulting, extensive gravel deposition in the area. The main stem of Sulphur Creek has seven major road crossings comprised of bridges and box culverts. Most of these major crossings are large enough to handle flood flow, but many smaller crossings and culverts on the tributaries have been identified as undersized. Channel modifications, including both on- and off-stream reservoirs, also alter flow patterns in the Sulphur Creek watershed.

Existing on- and off-stream reservoirs intercept and retain storm flows, acting to reduce the peak of the hydrograph and flooding. However, several of these reservoirs have inadequate overflow mitigation (i.e. spillways) and have the potential to cause severe erosion.

Solid Waste

The Upper Valley Disposal Service provides solid waste services to all residents and businesses in the City of St. Helena. The Upper Valley Disposal Service provides an extensive recycling program and a variety of waste reduction programs. A single stream recycling program accommodates a wide array of wastes including plastic, glass, steel, tin, aluminum, and most types of paper and cardboard. The Agency also conducts public education to teach residents and businesses about composting and its recycling and electronic waste disposal programs.

Solid waste is disposed of in the Clover Flat Landfill, located on the Silverado Trail north of St. Helena. The landfill has a permitted capacity of 4.90 million cubic yards. As of 2018, the landfill has a remaining capacity of approximately 2.62 million cubic yards. The landfill has 10 years remaining on its existing franchise agreement with Napa County, but has an estimated capacity to last approximately 30 years and is expected to close in 2047.

Clover Flat Landfill supports recycling and has a capacity of 5.1 million cubic yards.

SCHOOLS AND PUBLIC LIBRARY

The St. Helena Unified School District maintains four schools: a primary school, an elementary school, a middle school, and a high school that serve approximately 1,200 students in grades K–12. According to the District's 2010 Facilities Master Plan, St. Helena's public schools have a maximum capacity of approximately 1,770 K-12 students. Coupled with a decreasing trend in enrollment in recent years, the District anticipates adequate capacity to accommodate projected enrollment in the near-term. There are also four private schools in the city, as well as a public preschool (Little Backpacks Preschool) and a public college (Napa Valley College).

The George and Elsie Wood Public Library is the City's single public library. The library is home to approximately 96,000 books, videos, albums, newspapers, magazines, and other media. The library also contains the Napa Valley Wine Library collection, which consists of 3,500 titles regarding viticulture, enology, and other wine-related literature. The Robert Louis Stevenson Museum is also located on the Library site. In addition to public funds, the library is sustained by the active fundraising efforts of the Friends of the St. Helena Library, a "library foundation" group that has subsidized programming enhancements and a major library expansion. Continued City support can ensure that the library remains an innovative, cultural center serving all St. Helenans.

FIRE PROTECTION SERVICES

The City of St. Helena Fire Department provides fire protection services within the City limits and certain surrounding unincorporated areas, pursuant to a mutual aid agreement between the City and the County of Napa. This agreement dictates, depending on the needs of the incident, that all fire departments in the county will respond to a call for services as requested or required. Napa County Station 26 (St. Helena) and Napa County Station 12 (Yountville) provide automatic aid on all residential and commercial structure fires in the City of St. Helena. Services provided by the Fire Department include fire suppression, fire prevention, education, emergency medical and rescue services, and response to incidents involving hazardous materials.

The Fire Department is based at 1480 Main Street in St. Helena. As a part time department, firefighters respond to the station when they receive a page, leaving the station unoccupied throughout the day. The firefighters are trained to provide emergency medical services at various levels. The Fire Department responds simultaneously with the ambulance dispatch, and generally arrives on scene concurrently with the ambulance company. The department has set a goal for a maximum response time of 8 minutes within the St. Helena city limits.

The majority of calls received by the Fire Department are for emergency medical services.

POLICE SERVICES

The Police Department is based at 1480 Main Street in St. Helena. The St. Helena Police Department provides police services within the city limits. The Police Department maintains 24-hour security patrol throughout the community. In addition to calls within the City of St. Helena, the Police Department responds to incidents in surrounding unincorporated areas based on separate mutual aid agreements with California Highway Patrol, the Calistoga Police Department, and the County of Napa.

The Police Department goal is to maintain a staffing ratio of two police officers for every 1,000 residents. The Police Department's goal is to maintain an average response time of three minutes or less. In recent years, the number of calls for service has increased, resulting in an increase in response time.

4.3 Key Findings

There are several challenges and opportunities facing St. Helena related to public facilities and services. The following key findings are based upon comprehensive existing conditions analysis and community input.

Water

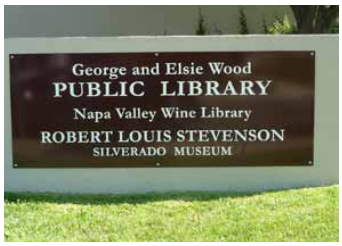
- It is imperative that the City continue to search for new sources of water, noting that groundwater is not considered a "new" source of water. However, until such sources are identified and acquired, the City must plan on its current sources of water as its only sources into the indefinite future.
- The City owns and operates two reservoirs, six storage tanks, pumps, four pump stations, and a network of distribution pipelines. Infrastructure is located within the City limit, SOI and the study areas. In 2015, St. Helena provided water service to approximately 2,312 connections, of which 348 were located outside the City's jurisdictional boundary.
- The installation of new electronic monitoring equipment and associated infrastructure improvements at Bell Canyon to better monitor Bell Canyon inflows, outflows, and water levels more accurately and in real time would be valuable to the City's water utility. Such real time measurement might lead to increased yields from Bell Canyon, as it will enable the City more accurately to manage the reservoir, including fulfillment of its obligation to flow water through to the Napa River, as required by its permits.
- To date, the City has not implemented its recycled water program due to logistical and financial constraints. Key issues include inadequacies in the City's distribution system that limit options to return water to users and insufficient demand to use greywater for irrigation purposes, particularly among wineries. Removing logistical and financial constraints can help the City keep the program moving forward until additional funding becomes available to fully upgrade the treatment plant and distribution system.
- Residential, commercial, and industrial customers have made great strides in recent years in reducing their water usage. It appears that residential con-

sumption is St. Helena is consistent with other Napa communities after taking into account housing mix and lot sizes.

- Future climate change could alter regional rainfall and significantly impact the City's water resources. The City should maintain awareness of evolving climate science assessments as they pertain to the Napa Valley and take those considerations into account in its ongoing water management planning.

Wastewater

- The City of St. Helena Wastewater Treatment Plant is operates under permits from the California Regional Water Quality Control Board. The most recent new permit was issued on January 12, 2016. The permitted capacity is the average dry weather flow which shall not exceed 0.65 million gallons a day. The actual average dry weather discharge rate shall be determined for compliance over three consecutive dry weather months each year. Under the new permit and related order, the City is required to meet more stringent discharge limitations. This may require significant improvements to the wastewater treatment facility.
- Portions of the Wastewater Treatment Plant are located within the 100-year floodplain, which can cause stormwater flows to infiltrate the City's wastewater collection system during the rainy season. Reducing inflow and infiltration into the wastewater collection and treatment system can reduce the frequency of overloads and increase the effectiveness of the City's facilities.
- New development often results in an increase in impervious surface areas and a decrease in natural vegetation, which in turn can result in increased stormwater runoff. Stormwater runoff can cause nonpoint source pollution in streams and rivers.
- St. Helena's Stormwater Master Plan is approximately 10 years old and some of the collection lines detailed in the plan have not yet been constructed. Currently, the City addresses stormwater runoff concerns on a case-by-case basis. Updating the City's Stormwater Master Plan can help streamline the permitting and approval process and renew recommendations to reflect changes since the adoption of the last plan.
- The City maintains a network of more than 22 miles of pipe and trunk lines that collect sewage from homes and businesses, and currently provides



The George and Elsie Wood Public Library contains approximately 96,000 books, videos, albums, newspapers, magazines and other media

In 1986 and 1995, floodwater overtopped the Napa River bank and caused significant damage to neighborhoods in the City of St Helena, prompting the City to take action which led to the development of the Comprehensive Flood Mitigation Project (Project). The final Project plan, approved in 2006, provides flood risk reduction for a 100-year flood event along with riparian environmental benefits. The Project's main components include a floodplain terrace, a new levee and floodwall, a storm water detention basin, pump station, and a site adaptive management plan. After completing design and permitting between 2006 and 2008, construction began in 2009. Construction of the Project was completed in April 2011, after which the City submitted an application to FEMA for accreditation of the new flood mitigation features. FEMA's approval was received in June 2012 through a Letter of Map Revision reflecting the areas brought under flood mitigation by the project. The Project removed over 200 residential units from the floodplain.

sewer service to approximately 1,726 connections, of which 75 percent are residential. All sewer connections are located within city boundaries, with no out-of-agency boundary sewer services provided.

Schools, Library, Fire, and Police

- In recent years nearly a third of St. Helena Unified School District students were classified as English Learners, with nearly all of these students listed as Spanish-speakers. Strengthening existing relationships with the school district can help the City effectively target services to Spanish speaking communities and has been effectively accomplished by the St. Helena library.
- Strengthening existing relationships with the school district can help the City effectively target services to lower-income families, such as those whose students receive free or reduced-price meals.
- Collaboration with the St. Helena Unified School District presents an opportunity to enhance after-school programming and social service delivery, as well as enable schools to function as neighborhood centers for a variety of intergenerational and community events.
- St. Helena's library consistently ranks as one of the top public libraries in the state and offers a wide variety of services for residents of all ages. In addition to its regular collection, the library houses the papers of the St. Helena Historical Society and the Napa Valley Wine Library Association and the Robert Louis Stevenson Museum. Per capita, the St. Helena Public Library enjoys the highest circulation and percentage of cardholders in the state.

The York Creek and Sulphur Creek watersheds drain into the Napa River.

- The St. Helena Fire and Police departments, as part of a mutual aid agreement between the City and Napa County, provides emergency response services to residents and businesses adjacent unincorporated Napa County communities outside of the City limits. Therefore, growth in these communities, as well as maintenance of infrastructure, impacts staffing and equipment needs, as well as response times for the City of St. Helena.

4.4 Goals

The goals of the Public Facilities and Services Element are:

Ensure High-Quality Public Services and Facilities.

St. Helena is committed to investing in and maintaining a high standard of quality for facilities and infrastructure to serve a diverse range of community needs.

Promote Sustainable Standards and Practices.

St. Helena is dedicated to upgrading existing community facilities and infrastructure where possible and setting standards for new improvements that support long-term ecological sustainability and environmental mitigation.

4.5 Policies and Implementing Actions

A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. Water;
2. Sewer;
3. Storm Drainage/Flooding;
4. Solid Waste; and
5. Schools, Libraries, Fire, and Police.

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together, they serve as strategic directions for City staff and partners, highlighting where time and resources should be focused.

.

topic area
1 WATER

Policies

PF1.1 Require that the approval of new development be contingent upon the ability of the City to provide water without exceeding the safe annual yield of its water supply system.

PF1.2 Adopt and implement equitable water conservation measures for both residential and non-residential users so that the City can supply water within the safe yield of its water system.

PF1.3 Prohibit water service to new customers outside the city limits unless a potential threat to health and safety can be demonstrated.

PF1.4 Proactively reduce the City's commitment to provide water to uses outside the city limits.

PF1.5 Continue to implement and update as necessary the City's Water Management Plan Ordinance and the City's Ordinance containing the Water Use Efficiency Guidelines, along with other existing water conservation ordinances and measures.

PF1.6 Aggressively promote adoption of "best practices" for reducing water usage in the existing housing stock through the City existing Ordinances and Water Conservation Plans.

Implementing Actions

PF1.A Continue to implement the City's water conservation ordinances and programs that act to reduce per capita water consumption. In addition, consider incentives to property owners to install rainwater collection barrels and continue to require water efficient irrigation systems and drought tolerant landscaping.

PF1.B Implement the following water system improvements:

- Replace obsolete, undersized water mains to provide more efficient circulation, higher pressures, and lower pipe losses during heavy demand periods.
- Continue service of water mains to reduce unaccounted-for water losses.

topic area
1 WATER

PF1.C Continue to aggressively look for new water supply sources adequate to serve St. Helena's population into the future. New sources may include adoption of new technologies, such as effective water recycling.

PF1.D The City of St. Helena should not draw or sell any groundwater beyond that currently allowed until a safe yield of the groundwater system has been identified through a study of the North Main Basin Aquifer by a qualified hydro geologist.

PF1.E Permit no new development relying on groundwater unless and until it is determined that the incremental production of ground water to support the development will not adversely impact the water production capability of the aquifer supporting the City wells.

PF1.F Track the drilling of new private wells in and around St. Helena and, if so recommended by the qualified hydrologist hired by the City's water system, request that the County impose a moratorium on new well drilling if needed to protect the production capability of the City wells.

PF1.G If feasible, adopt a Water Conservation Program that includes the following actions:

- Utilize a Water Conservation staff member or consultant, as needed;
- Update the new construction offset program;
- Establish an Irrigation Advisory Service and promote "Smart Irrigation Controllers";
- Adopt new requirements for "ultra-efficient" plumbing fixtures for new development and rebates for existing users;
- Reduce average dry weather flow; and
- Evaluate incentives for replacement of turf and rainwater catchment, etc.

PF1.H Ensure that water rates are designed to promote conservation, as well as to ensure that needed capital improvements are made in a timely manner.

topic area
1 WATER

PF1.I Evaluate and adjust as needed "water shortage emergency" phases, recognizing the complexity of the supply system and making use of modeling of historical and future performance.

PF1.J Develop and adopt regulations to ensure that total potable water usage is not greater than 1,950 acre-feet per year unless the project includes housing affordable to lower income households and a determination is made pursuant to Government Code 65589.7 that a "sufficient water supply" is available to serve that project and none of the exceptions set forth in 66589.7 (c) apply; or, new sources of water are made available to the City. Residential projects that contain affordable housing shall receive priority allocation of water.

PF1.K Aggressively promote adoption of "best practices" for reducing water usage in the existing housing stock.

PF1.L Require that all new residential housing projects incorporate "best practices" for minimizing water usage.

PF1.M Limit any future non-residential development to projects that incorporate "best practices" for water conservation.

PF1.N Institute an ongoing process of mandatory audits of all existing non-residential water users to promote adoption of "best practices" for water conservation.

topic area
1 WATER

PF1.O Provide the full-time capability in the City to implement and oversee water conservation policies and to pay for this capability out of water revenues rather than the General Fund.

PF1.P Collaborate with Napa County (GRAC study) by participating to establish in the ongoing monitoring program to assess the long-term viability and recharge capability of the North Main Basin aquifer that supplies the City's wells.

PF1.Q The City of St. Helena at the earliest opportunity shall work with the City of Napa to extend that Napa water supply contract beyond the expiration of its term at the end of 2035.

PF1.R Maintain awareness of long-term risks to the City water supply, including potential climate change impacts, impacts on groundwater resources, uncertainties about the Napa water contract renewal in 2035, and Napa water delivery reliability due to impacts on the State Water Project from drought, singlepipe delivery system risks, large storms, or earthquakes. Allocate any surplus water resources among new uses and unallocated reserves to maintain a balance between short-term needs and long-term risk mitigation.

PF1.S Provide for capital needs of water and wastewater systems.

Storm drainage improvements can include measures such as creating settling basins, bioswales and the use of pervious materials for driveways and parking areas.

topic area
2 SEWER

Policies

PF2.1 Ensure adequate sewage treatment capacity at the City treatment plant to meet the needs of population growth, taking into account the City's Growth Management System, the Regional Housing Needs Allocation, and the needs of non-residential users.

PF2.2 Require the extension of the City sewer to areas that are dependent upon septic systems prior to approval of future growth in these areas.

PF2.3 Reduce pumping costs and increase plant capacity by mitigating sewer system infiltration problems and explore alternate energy sources.

PF2.4 Increase sewer collection system efficiency by ensuring proper maintenance of sewer pipes.

Implementing Actions

PF2.A Require all new units on parcels less than two acres, except those in the Woodlands and Watershed District, to connect to the City sewer. All existing units within 200 feet of an existing sewer shall connect to the City sewer whenever feasible. Many of the residential units cannot expand without abandoning on-site septic systems and connecting to the sewer which may, in some cases, require an extension of the sewer.

PF2.B Continue wastewater treatment system upgrades to reduce the number and scale of implementation constraints on the recycled water program. This can ensure that the system is ready for investment when funding for implementation becomes available.

PF2.C Urban services such as sewer, water, and storm drainage will only be extended to development within the Urban Limit Line. Exceptions will be permitted when undue hardship can be demonstrated and when proposed improvements are not found to induce growth.

PF2.D Reduce sewer system inflow and infiltration through repair and replacement of sewer pipes and protection from inflow sources.

PF2.E Reduce pumping costs and increase plant capacity by mitigating sewer system infiltration problems and exploring alternate energy to operate the wastewater treatment plant to reduce operational costs.

A Safe Routes to School Program will improve walking and bicycling access to schools and after-school programs.

topic area
3 STORM DRAINAGE/FLOODING

Policies

PF3.1 Ensure that new developments provide adequate drainage improvements and detention to mitigate flooding from increased stormwater runoff attributable to the development.

PF3.2 Ensure that encroachments into the 100-year floodplain do not result in any increase in flood levels during the occurrence of the base flood discharge.

PF3.3 Improve York Creek channel capacity in flood-prone areas through removal of channel-obstructing gravel bars and vegetation.

PF3.4 Consider efforts to prevent risk to structures and property along Sulphur Creek.

Implementing Actions

PF3.A Require developers to provide adequate drainage improvements and detention to mitigate storm runoff from the site to the nearest major waterway. Drainage improvements can include measures such as creating settling basins, bio-swales, and the use of pervious materials for driveways and parking areas. Key waterways include York Creek, Sulphur Creek and the Napa River.

PF3.B Continue to require that new developments contribute on a fair share basis to the extension or upsizing of storm drainage to accommodate it through the construction of infrastructure and/or the payment of Impact Fees.

topic area
3 STORM DRAINAGE/FLOODING

PF3.C Consistent with Municipal Code Section 16.32.170, continue to prohibit the creation of new residential lots that will be subject to periodic inundation from floodwaters. New development proposals on existing lots of record must identify flood hazard areas and mitigate all impacts to base flood levels and potential flood damage from grading, filling, and construction through proper drainage, construction, and location of utilities, in accordance with FEMA requirements.

PF3.D Update the City's Stormwater Master Plan to include changes and upgrades since the last plan and to help streamline the approval process.

PF3.E At the time of development review, require that post-project runoff be limited to pre-project peak flow rates for the five-year and ten-year storms as a condition of approval.

(Also see Climate Change Element, Topic Area 4)

PF3.F Implement the requirements of FEMA relating to construction in Special Flood Hazards Areas as illustrated on Flood Insurance Rate Maps.

PF3.G Continue to require that new development and redevelopment projects implement Post Construction Runoff Management measures, including low impact development practices, to reduce stormwater peak flow rates and volumes from smaller, more frequently occurring storm events.

topic area
4 SOLID WASTE

Policies

PF4.1 Increase recycling and composting as part of a coordinated waste reduction and management program.

Implementing Actions

PF4.A Develop and adopt a Waste Management Master Plan to enhance existing waste management services and systems. Assess the system's capacity to serve current and future residents, recommend improvements and identify funding mechanisms and implementation partners. The plan should include landfill space plans and a food waste composting program that incorporates approaches for on-site food waste composting for residences and businesses. Update the plan regularly to address changing needs and priorities.

PF4.B Install and maintain recycling receptacles downtown and in all public parks and major streets. Ensure that the design and appearance of the receptacles fosters high-quality community design, aesthetics, and character.

topic area
5 SCHOOLS, LIBRARIES, POLICE, AND FIRE

Policies

PF5.1 Support and cooperate with the St. Helena Unified School District in maintaining high-quality education as a community priority.

PF5.2 Promote the efficient use of school facilities for before- and after-hour programs that benefit both school-age children and the community at large.

PF5.3 Ensure that children have access to safe routes to school, especially by bicycle and walking.

PF5.4 Require that the approval of residential, commercial, or industrial development be contingent upon the mitigation of the impact of such development on the St. Helena Unified School District's ability to serve school-age children.

PF5.5 Encourage continued support for the St. Helena public library and the library foundation to ensure that it maintains high-quality services for all St. Helenans.

PF5.6 Partner with the St. Helena School District and other community stakeholders to develop a "Youth and Families Master Plan" that will allow more effective collaboration, communication, and coordination in providing services support and opportunities for St Helena's youth.

PF5.7 Set a goal of a maximum fire department response time of 8 minutes within the St. Helena city limits.

PF5.8 Set a staffing ratio of 2 police officers per 1,000 population and for priority one calls, an average police department response time of 3 minutes or less.

topic area
5 SCHOOLS, LIBRARIES, POLICE, AND FIRE

Implementing Actions

PF5.A Assist the School District in collecting school facility development fees generated by new development. Partner with the District to identify, establish, and implement additional measures to ensure that the highest quality of education is provided.

PF5.B Partner with the Napa County Office of Education, the Napa Valley Transportation Authority, the St. Helena Unified School District, and private schools in St. Helena to develop and implement local safe routes to school strategies to improve walking and bicycling access to schools and after-school programs; promote bicycling and walking to benefit students' health; decrease automobile traffic near schools; and support local efforts to improve the environment. Align safe routes to school strategies with the City's bicycle and pedestrian trail systems.

PF5.C Develop a City-sponsored internship program for St. Helena Unified School District students in order to provide high-quality job skills training and support the School District's educational goals.

chapter five

circulation

5 circulation

A multimodal transportation network includes bicycles, pedestrians, transit, and automobiles.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety, and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture, and entertainment

5.1 Purpose of the Element

The Circulation Element provides the framework for a comprehensive and multimodal transportation network that supports and integrates with the other elements of the General Plan, especially the Land Use and Growth Management Element. The Circulation Element identifies the principal components of the City's circulation system, as well as issues related to parking, public transit, and pedestrian and bicycle infrastructure. Standards and guiding principles for the implementation of transportation improvements are also included.

In increasing numbers, citizens of all ages in St. Helena are interested alternatives to the automobile, including walking, biking, and moving throughout the community in golf carts and other electric non-automobile vehicles. Given the relatively flat topography of most of St. Helena, the city provides ideal conditions for such alternative modes of transportation. A shift from traditional automobile-based transportation to alternative modes of transportation within St. Helena will bring numerous benefits to the community, including but not limited to:

- Decreased automobile traffic throughout the city due to an increased number of citizens choosing to walk, or bike, or use alternative modes of travel within the city;
- Health benefits for residents of St. Helena as a result of increased use of active transportation, including walking and biking;

- Decreased air pollution due to less automobile operation throughout the city; and
- Reduced wear and tear on streets within St. Helena.

In January 2012, the City of St Helena completed and approved a citywide bicycle and multimodal plan which is integrated with the Napa County bicycle network and the Napa Vine Trail. The approved plan will provide safe and convenient bicycle, pedestrian, and multi-modal access to schools, parks, open spaces, commercial areas, residential neighborhoods, and community facilities. With this plan and vision in place, the foundation to create a safer and healthier pedestrian and bicycle environment has been established. The City is focused and committed to turning this plan into reality.

The Circulation Element includes the following sections:

- **5.2 Circulation and Mobility Framework for St. Helena**. Describes a framework for circulation and mobility (p. 5-4).
- **5.3 Key Findings.** Identifies key findings based on an existing conditions analysis (p.5-6).
- **5.4 St. Helena's Circulation and Mobility Future**. Describes St. Helena's transportation future, including the proposed street typology system and network, pedestrian and bicycle network, transportation performance measures, and transportation demand management (TDM) program (p. 5-13).
- **5.5 Goals**. Defines goals that focus the direction of changes to St. Helena's transportation infrastructure and mobility and circulation-related policies and programs (p. 5-29).
- **5.6 Policies and Implementing Actions**. Identifies policies and implementing actions to develop an efficient, multimodal transportation network that minimizes impacts to the environment and neighborhoods (p. 5-31).

5.2 Circulation and Mobility Framework for St. Helena

Regional planning initiatives such as the Napa Countywide Pedestrian Plan and the Napa County Travel Behavior Study provide context for the circulation and mobility framework in St. Helena

Transportation planning in California is undergoing a broad transformation. A changing demographic, the growing movement to combat climate change, and an increasing focus on the public health benefits of biking and walking all highlight the need to provide greater choice in local and regional travel. Multimodal transportation and the integration of land use and transportation planning, while always important, are central components of this paradigm shift which has occurred within St. Helena, as well as statewide. These concepts are widely accepted as essential to creating successful circulation and mobility improvements. As municipalities and agencies plan for change, individuals seek to minimize travel costs and learn more every day about how decreasing their reliance on the automobile can reduce their carbon footprint and improve their physical health and well-being.

As part of this paradigm-shift, mobility no longer focuses only on private automobile and public transit use. Increasingly, it is defined by how community members can use alternative modes of transportation efficiently. The size, topography, and climate of St. Helena make it an ideal city for both walking and biking. According to data from the 2012-2016 American Community Survey 5-Year Estimates for the City of St. Helena , approximately 6 percent of St. Helena residents walk to work. This is a higher rate than the countywide average of 4 percent and reflects the City's continuing efforts to create and preserve safe walking environments and a pedestrian-friendly community. At the same time, less than 2 percent of St. Helena residents travel to work by bike and less than 1 percent commute by public transit. This reality underscores the importance of continued efforts to build a comprehensive circulation network in support of multiple travel modes (see Table 5.1). Circulation, as defined in this element, promotes human-scale mobility through a network of pathways and infrastructure that does not rely solely on the expansion of automobile roadways.

Past transportation planning methods have relied heavily on a traditional street classification and performance measurement system that focuses solely on the capacity of streets to accommodate automobile traffic volume, improve

traffic speed, and reduce delay time. This narrow approach fails to consider overall mobility, the existing and desired land use character of the community or conditions for non-automobile users. To better reflect and promote the paradigm shift towards non-automobile-based transportation within St. Helena, the traditional approach to transportation planning must be expanded to address "complete streets". Efforts to improve the City's network of streets, sidewalks, and services must meet important circulation and mobility goals and also contribute to broader efforts to create safe and attractive environments for human interaction.

In support of these concepts, the General Plan recognizes the need to establish new street typologies and performance standards, while tailoring improvements and mitigation to support multiple modes of travel and enhance surrounding land uses. The Circulation Element sets forth goals, policies, and implementing actions that bolster this place-based approach and will guide decisions about improvements to the public right-of-way to best meet the community's vision and to maximize the safety of St. Helena's residents and visitors.

TABLE 5.1: Journey to Work by Mode of Travel

Mode	St. Helena		Napa County	
	2000	2016	2000	2016
Drove alone	69.2%	77.8%	72.7%	75.8%
Carpooled	13.1%	3.8%	14.8%	11.6%
Transit	1.3%	1.0%	1.4%	1.5%
Bicycle	0.3%	2.6%	0.2%	0.7%
Motorcycle	0.0%	0.0%	0.8%	0.1%
Walked	7.2%	6.2%	4.1%	4.0%
Other means	0.9%	0.0%	0.8%	0.5%
Worked at home	8.0%	8.6%	5.1%	5.8%

Source: U.S. Census Bureau; Census 2000, American Community Survey 2016 Estimates

Many neighborhoods are within walking distance of schools and the downtown.

5.3 Key Findings

There are several challenges and opportunities facing St. Helena related to circulation. The following key findings are based upon comprehensive existing conditions analysis and community input.

- St. Helena's street network has largely been developed on a grid. However, some sections of the network, particularly on the east side of State Route 29, are not connected. The lack of a complete traffic circulation system funnels the majority of local trips onto several streets, particularly when State Route 29 is heavily congested. The 1993 General Plan included plans for multiple street extensions on local roadways to accommodate future development. While a handful of projects have been implemented, most have not. Given the shift towards non-automobile-based transportation, these extensions are an opportunity to create bicycle and pedestrian connections (as well as emergency vehicular access where appropriate and beneficial) to improve non-automobile circulation throughout the city. Additionally, development of a comprehensive traffic calming program with a focus on non-automotive circulation improvements will preserve and enhance the livability of neighborhoods and address resident concerns about traffic safety, such as speeding on residential streets.
- According to U.S Census data, the mode share for bicycle and pedestrian commute trips from St. Helena decreased between 1990 and 2000 (by 1.0 percent and 1.2 percent respectively). This trend has continued to present day for pedestrians but has changed for cyclists. Based on the 2012-2016 American Community Survey 5-Year Estimates, the percentage of St. Helena residents who walk to work decreased from 8.4 percent in 2012 to 6.2 percent in 2016, while over the same time period, the numbers of those biking to work in St. Helena increased from 0.6 percent to 2.5 percent since adopting the bicycle master plan. Developing a comprehensive, safe and accessible pedestrian and bicycle network will promote non-motorized trips and reduce single-occupancy vehicle trips, as well as reflect trends in how St. Helena residents move around the city and larger Napa Valley region.
- St. Helena's senior population is expected to increase substantially by 2040. Planning for and developing a pedestrian network that accommodates the city's most vulnerable users, such as seniors, children, and individuals of

TABLE 5.2: Destinations for Weekday Trips of Residents Living in St. Helena

Origin	Destination	Number of Total Trips	Percentage of Total Trips
St. Helena	St. Helena	6,450	41%
St. Helena	Napa	1,896	12%
St. Helena	Calistoga	655	4%
St. Helena	Yountville	98	1%
St. Helena	American Canyon	125	1%
St. Helena	Remainder of Napa County	5,564	36%
St. Helena	Outside Napa County	801	5%
	Total	**2,703**	100%

Source: Napa County Travel Behavioral Study, Fehr and Peers, 2014

limited mobility, will ensure that St. Helena's streets are safe and accessible for all, in consideration of the Americans with Disabilities Act (ADA) requirements. St. Helena's senior population will increase substantially by 2030. A pedestrian network that accommodates the City's most vulnerable users, such as seniors, children and individuals of limited mobility, will ensure that St. Helena's streets are safe and accessible for all. Relevant planning initiatives include the 2010 ADA Transition Plan and the 2016 Napa Countywide Pedestrian Plan.

- Many families live within walking or biking distance of St. Helena's schools, which presents an opportunity to decrease automobile use. Safe Routes to School is a national program that improves safety and encourages students to walk and bicycle to school. Such programs work to reduce traffic congestion and improve the health of both children and the environment, and funding is available for implementation from State and federal sources.

- Several open spaces and parks located within St. Helena and in the surrounding area, including agricultural areas and the Napa Valley Vine Trail, lack well-defined and accessible connections for both pedestrians and bicyclists. Funding sources for the rehabilitation of existing sidewalks to ensure the safety of residents and visitors is also needed. Future opportunities for the development of multi-use paths with an emphasis on access, wayfinding, signage, and parking locations at trailheads will be a priority. Similarly, collaboration with other jurisdictions to expand opportunities to provide pedestrian and bicycle access throughout the Napa Valley requires focus, as these improvements have the potential to create alternative recreational and commuting opportunities for both visitors and local residents.
- In the past, St. Helena has relied solely on traditional Level of Service (LOS) standards for measuring transportation impacts from new development, which account for auto vehicle delay at intersections and along roadway segments. This approach, while effective in measuring and regulating vehicular transportation impacts, does not place any emphasis on enhancing

TABLE 5.3: Origin of Workers Traveling to St. Helena for Work

Origin	Destination	Number of Total Workers	Percentage of Total Workers
Napa	St. Helena	1,793	11%
St. Helena	St. Helena	6,450	39%
Calistoga	St. Helena	444	3%
Yountville	St. Helena	246	3%
Remainder of Napa County	St. Helena	6,841	41%
Living Elsewhere in California	St. Helena	841	5%
	Total	**16,615**	100%

Source: Napa County Travel Behavior Study, Fehr and Peers, 2014

The St. Helena Vine provides local service throughout the City.

the use of alternate modes of transportation, such as the transit, walking, and bicycling by enhancing access to those modes of transportation. This General Plan includes policies and implementation measures that rely on the use of LOS, while supporting all modes of travel when measuring and mitigating transportation impacts.

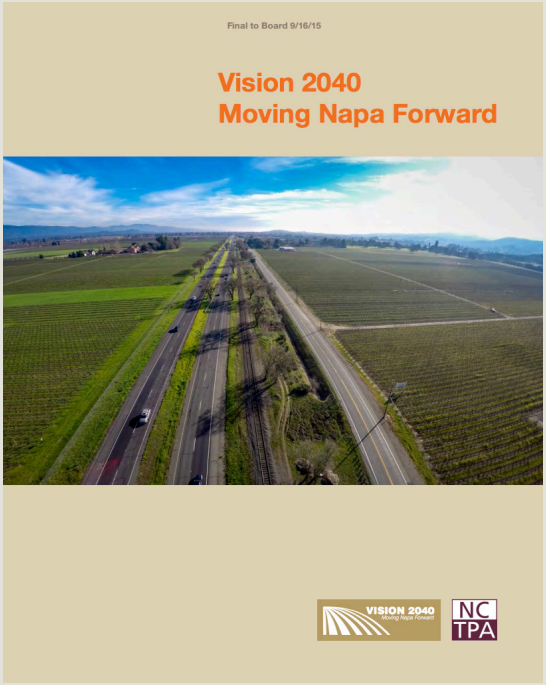
- With a statewide emphasis on shifting travel from single-occupancy vehicles to carpooling, transit use, and increasing bicycle and pedestrian trips to reduce greenhouse gas emissions and Vehicle Miles Traveled (VMT), new performance measures that recognize the priorities of a range of roadway users will be needed.
- According to U.S. Census data, more workers are commuting into St. Helena than are living within the city. This suggests a mismatch between the type of employment and residential units in St. Helena. A balanced ratio between jobs and housing can help reduce travel times and traffic congestion, as well as VMT.
- The primary transit option in the Napa Valley is the Vine bus service. Development and land use patterns in the Napa Valley have resulted in low rates of transit ridership. According to the 2012-2016 American Community Survey 5-Year Estimates, 0.9 percent of St. Helena residents commute by

transit as compared to 5.2 percent statewide. Additional funding and support for increasing bus service will enhance long-term strategies for a sustainable transportation system.

- A significant portion of Napa County's traffic congestion results from tourists traveling throughout the region. There is increasing support for tourism that places less reliance on the automobile, such as the development of new resort/hotel facilities that are located and designed so that guests can conveniently walk or bike to nearby dining, shops, and other local amenities, or that rely on shuttle transportation provided by the resort/hotel. The development of the Vine Trail, a regional walking and biking trail system will connect St. Helena to the rest of the Napa Valley, and will also help increase reliance on pedestrian and bicycle transportation modes, thereby helping to manage congestion in the area.
- Regional trips to and from St. Helena typically begin or end within Napa County. The majority of these trips originate and/or terminate in the City of Napa, Deer Park, Calistoga, Yountville, and Angwin. Developing viable transportation alternatives to single-occupancy vehicle trips for these regional trips will help to reduce VMT.
- Because State Route 29 is the main route for vehicles traveling from Lake County or Northern Sonoma County to the City of Napa and destinations to the south, inter-county travel contributes to significant congestion along St. Helena's Main Street. During peak travel times, less than half of all vehicles on State Route 29 are traveling to or from destinations within St. Helena. While policies and implementing actions in the General Plan seek to improve circulation within the city, additional housing, employment, and public transit policies at the regional level will be required to reduce VMT throughout the Napa Valley, and in turn, St. Helena.
- Although there is rail service for tourists on the Wine Train, no commuter rail service exists at this time. According to the Napa Valley Transportation Authority (NVTA) 2003 Napa/Solano Passenger/Freight Rail Study, commuter rail and light rail service in the area is not viable due to high costs, a small service population and lack of adequate rail infrastructure to support higher speeds.

CONCEPTS, TRENDS, AND IDEAS

Regional Coordination



Vision 2040: Moving Napa Forward outlines a comprehensive vision for the County's transportation system in 2040.

The Napa Valley Transportation Authority (NVTA) is a key partner and resource in regional transportation planning, programming and funding administration for Napa County. The NVTA is a Joint Powers Agency (JPA) comprised of the City of Calistoga, City of St. Helena, Town of Yountville, City of Napa, City of American Canyon, and Napa County. Originally known as the Napa County Transportation and Planning Agency (NCTPA), the agency's Board of Directors approved a resolution to re-brand as NVTA in February 2016 to clarify the agency's role in the community. The NVTA's Board of Directors includes the mayors and one councilmember of each of the jurisdictions in the County, and the Chairman of the Board and one Supervisor of Napa County, and one non-voting representative from the Paratransit Coordinating Council. The NVTA operates the countywide transportation program, including countywide transit service, paratransit, community shuttles, and the Vine Transit.

In 2015, the NVTA issued The Napa Countywide Transportation Plan - Vision 2040: Moving Napa Forward, a report that identifies the transportation issues facing Napa County and outlines a comprehensive vision for the County's transportation system in 2040. This report includes a series of goals designed to attain this vision and addresses how strategic transportation planning may enable the County to resolve key issues that might arise in the future due to projected population and employment growth. The Circulation Element includes a number of policies and implementation actions that support NVTA recommendations, such as transportation demand management.

An interconnected multimodal system will include bicycle and pedestrian paths.

- The Napa Valley Wine Train, which operates on the former Southern Pacific Rail line, is a tourist-oriented, recreational ride carrying riders on a round trip between Napa and St. Helena. Due to an agreement with the California Public Utilities Commission (CPUC), the train does not currently stop to board or disembark passengers at any location other than the point of origination in the City of Napa and partnering wineries and vineyards included in select packages that include winery tours. Opportunities exist to reduce reliance on the automobile for access, given that if passengers are able to board and disembark in St Helena, this would decrease automobile traffic demand along the Wine Train Corridor. Additionally, hotel/hospitality facilities and other tourism-oriented amenities located in close proximity to the Wine Train right-of-way would be consistent with the City's goal of reducing the tourism industry's reliance on the automobile.

Bicycle and pedestrian paths can be located adjacent to creeks.

5.4 St. Helena's Circulation and Mobility Future

St. Helena's transportation infrastructure and compact development pattern create a relatively walkable community, despite being located in a predominantly rural area. It also provides direct access to regional destinations throughout the Napa Valley. However, key constraints to efficient and sustainable circulation in St. Helena include congestion along State Route 29 and regional land use patterns that are not conducive to efficient transit service, walking or biking.

The City of St. Helena and Napa County share the goal of reducing traffic congestion in the region by encouraging the development of a multimodal transportation network, supported by land use decisions that encourage alternatives to single-occupancy vehicle trips. The Circulation Element identifies the key components of a sustainable transportation system, including the following:

- Street Typology System and Network;
- Pedestrian and Bicycle Network;
- Transportation Performance Measures; and
- Transportation Demand Management Program.

Residential streets provide access to neighborhoods.

STREET TYPOLOGY SYSTEM AND NETWORK

Street Typology System

The General Plan street network and street typology system is shown on Figure 5.1. The St. Helena General Plan Circulation Element introduces a new street typology system, replacing the previous street classifications, which established one set of design and operation standards based on a rigid, hierarchical classification of roadways. New street typologies consider the street context and alternate travel modes to help ensure that street standards consider a roadway's relation to its surrounding land uses, appropriate travel speeds, and the need to accommodate multiple travel modes.

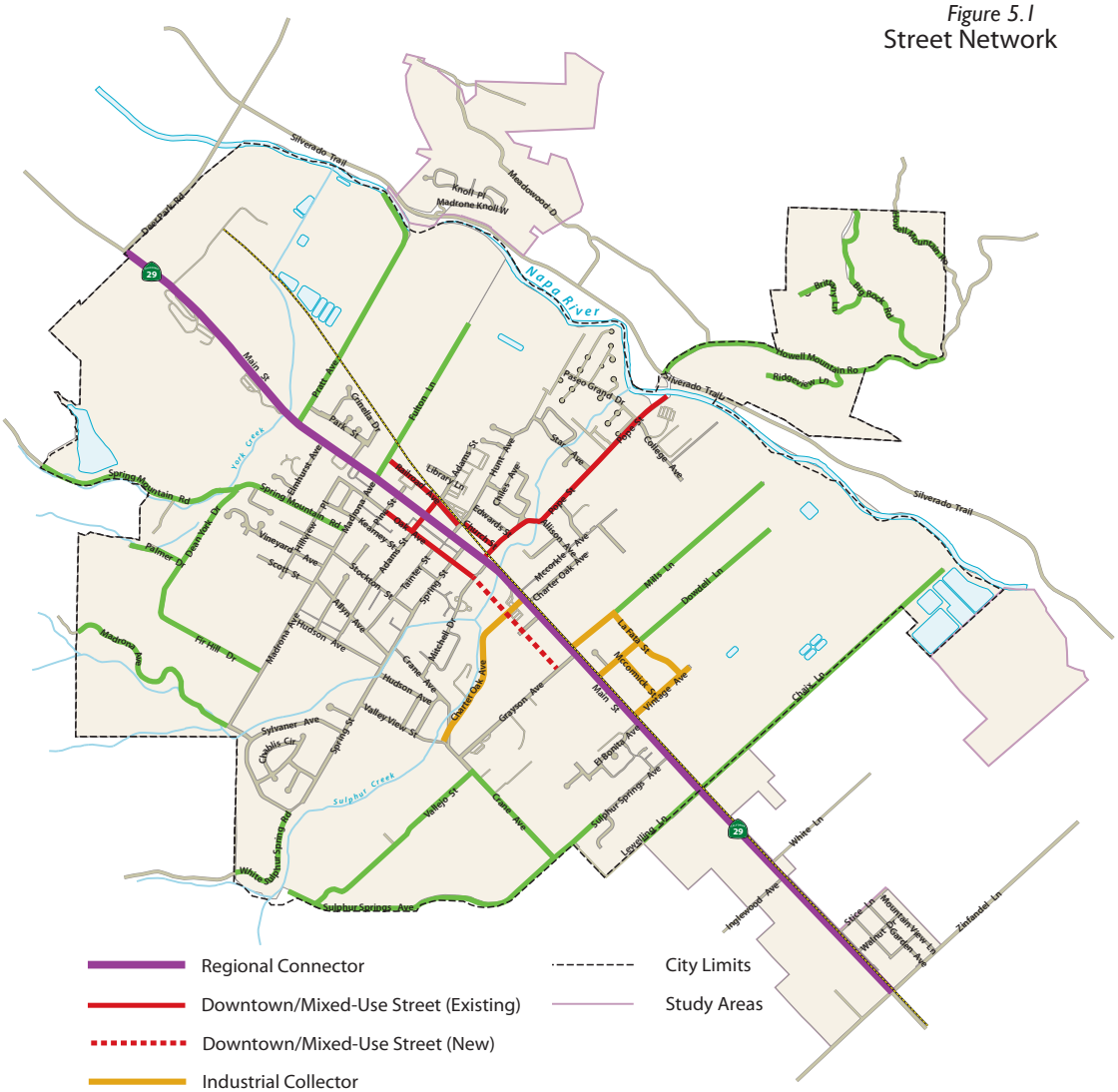
The streets of a given neighborhood or district have characteristics that generally follow the land use character of that area and the role that streets play in the greater street network of the surrounding community. For example, a residential street that serves as a collector will have different characteristics and design features from a residential street that provides local access. Similarly, a downtown/mixed-use street and an industrial collector street serve different

functions. A downtown/mixed-use street emphasizes accommodating several transportation modes, while an industrial collector emphasizes accommodating heavy trucks and automobiles. Consequently, the design features and overall user experience may differ greatly.

The following street typologies are part of the City's new street typology system. Application of these standards should be considered for any new development, street repaving, or redevelopment project.

- **Open Space/Rural Street** – Provides access to open space, vineyard and agricultural areas, and rural residential uses. Sidewalks and curbs are not typically present on rural street types, though bicycle boulevards and low speed limits may be present on some open space or rural streets.
- **Industrial Collector Street** – Supports truck access to manufacturing and industrial land uses. While sidewalks are present on all streets, bicycle, and transit facilities are not typically present for this street typology.
- **Residential Street** – Provides access to neighborhoods. This street type supports local trips, with an emphasis on pedestrian and bicycle amenities and slow driving speeds.
- **Downtown/Mixed-Use Street** – Supports all travel modes. It includes specific design features that promote livable streets and multimodal access such as wide sidewalks, traffic calming features, and bicycle boulevards.
- **Regional Connector Street (Main Street)** – Supports all modes, but is primarily designed to provide citywide and regional access for cars, transit and trucks trips. As Main Street/State Route 29 is the key commercial center for St. Helena, specific design features that foster livable streets and multimodal access may be applied, including wide sidewalks with regular street crossings, high-quality pedestrian amenities, and enhanced bus transit facilities. At the edge of the downtown area, Main Street/State Route 29 transitions into a more suburban and rural environment. These sections have higher vehicle speeds and less walking and bicycling activity than the center of downtown.

Figure 5.1
Street Network



Source: *City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018.*

GENERAL PLAN UPDATE
City of St. Helena

TABLE 5.4: Street Typologies

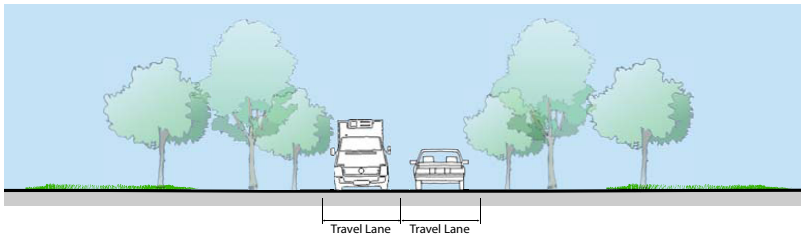
Street Typology	Vehicle Traffic Levels	Pedestrian Facilities	Bicycle Facilities (designated network)	Desired Vehicle Speeds/ Traffic Calming	Truck Route	Transportation Performance Measure
Open Space/ Rural Street	Low / moderate	Sidewalks not typically included	Bicycle route or boulevard	25-35 mph/ Yes	Accommodated	Citywide ATG1, bicycle connectivity, pedestrian connectivity
Industrial Collector Street	Low	Sidewalks	Typically none	25 mph/ No	Accommodated	Citywide ATG, bicycle connectivity, pedestrian connectivity
Residential Street	Low / moderate	Sidewalks (with landscape buffer or street trees where appropriate), crosswalks where appropriate	Bicycle boulevard or lane	15-25 mph/ Yes	Accommodated on designated routes	Citywide ATG, bicycle connectivity, pedestrian connectivity
Downtown/ Mixed-Use Street	Low to moderate	Wide sidewalks (with landscape buffer or street trees where appropriate), regular crosswalks	Bicycle boulevard or lane	25 mph/ Yes	Accommodated on designated routes	Citywide ATG, Bicycle connectivity, pedestrian connectivity
Regional Connector Street (Main Street)	High	Wide sidewalks (with landscape buffer or street trees where appropriate) and regular crosswalks in downtown area. Outside of downtown: regular crosswalks and sidewalks included where demand warrants	Bicycle route, lane or adjacent trail	25 -35 mph/ context-based	Accommodated	Peak hour vehicle travel time, citywide ATG

Notes: 1ATG = Automobile Trip Generation
Source: Fehr & Peers, 2009

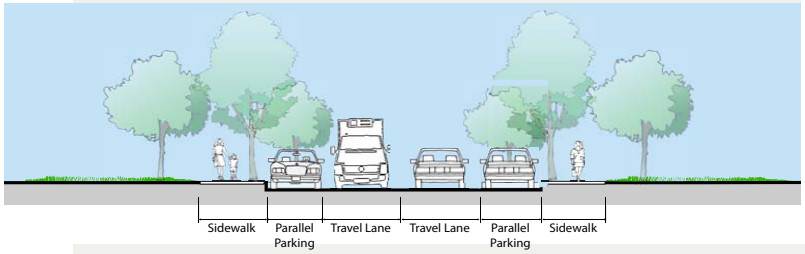
Figure 5.2

Street Typology Cross Sections

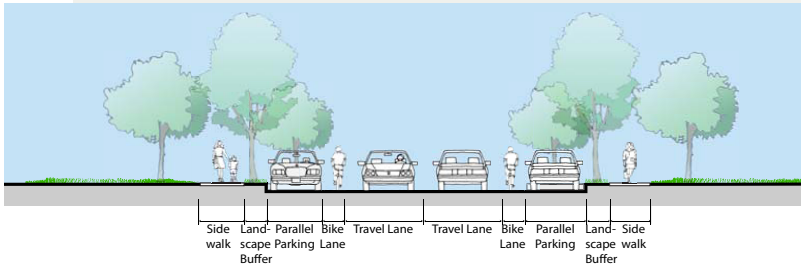
Open Space/ Rural Street



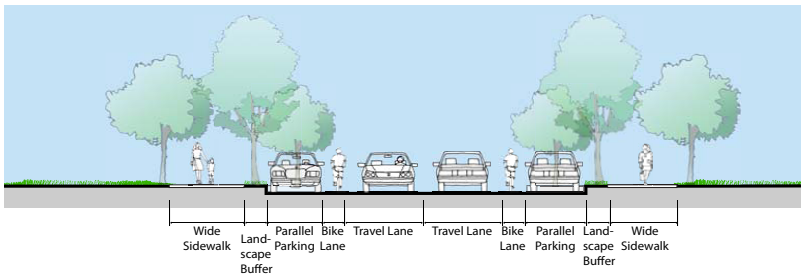
Industrial Collector Street



Residential Street



Downtown/ Mixed-Use Street



Regional Connector Street

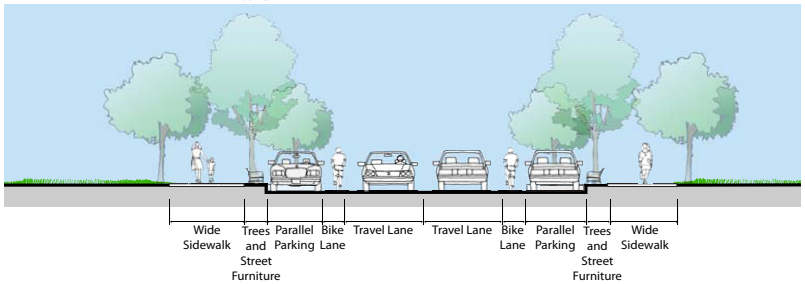
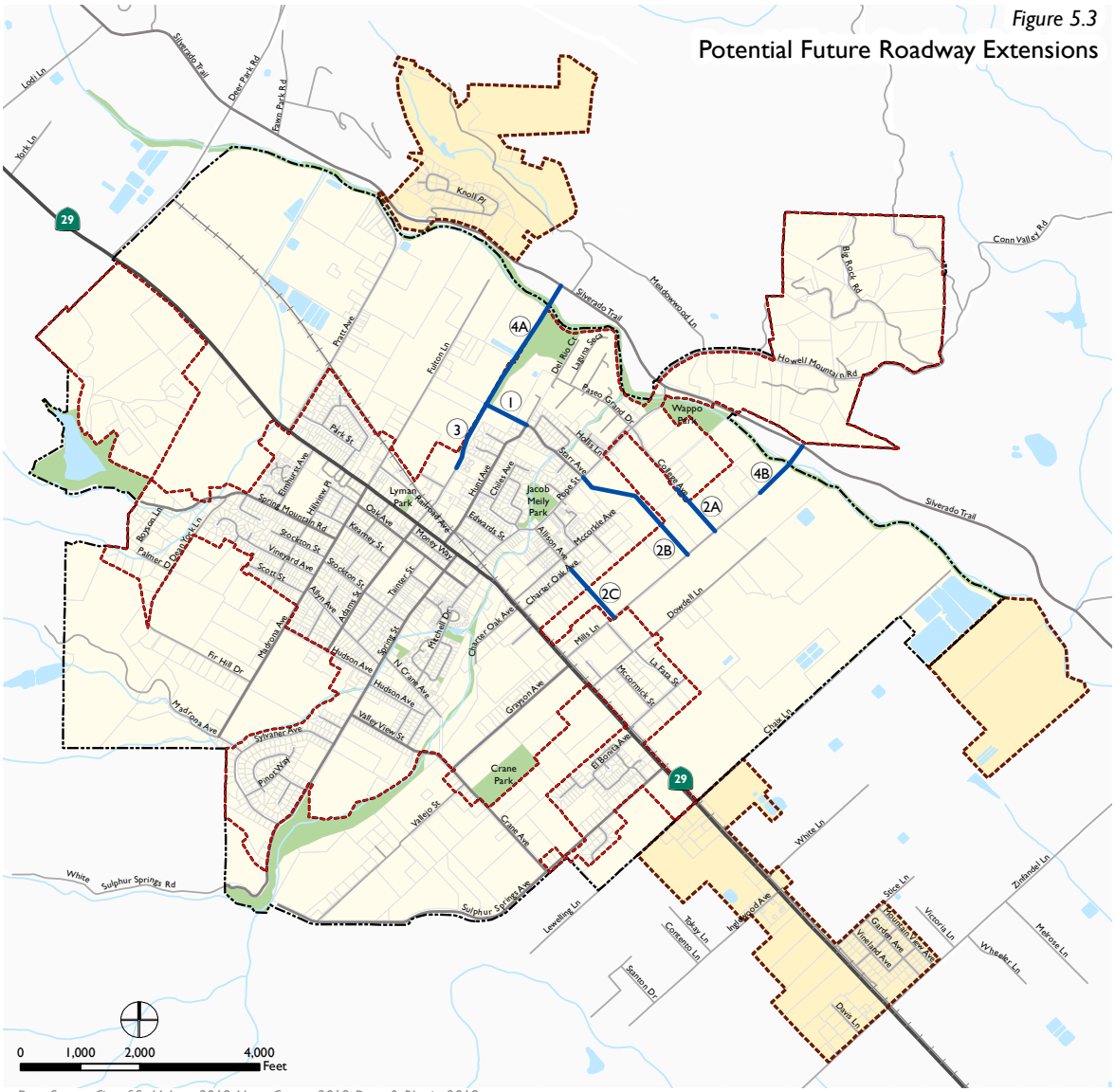


Figure 5.3

Potential Future Roadway Extensions



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

- Potential Future Roadway
- Parks and Open Space
- Urban Limit Line
- Study Areas
- City of St. Helena

- (1) Starr Avenue extension north to Adams Street
- (2A) (2B) (2C) College Avenue, Starr Avenue or Allison Avenue extension to Mills Lane
- (3) Adams Street from its current eastern terminus to Starr Avenue
- (4A) (4B) Extension to Silverado Trail, by extending Adams Street or Mills Lane.

Circulation Study Alternatives

The St. Helena street network includes one new roadway, the extension of Oak Avenue from Mitchell Drive to Grayson Avenue, to be constructed as a Downtown Mixed Use street. In order to manage congestion and provide additional new connections within the city, as part of the General Plan update, several other new streets are identified as potential options to explore in the future. In most cases, the potential connections provide options for residents to travel from one part of town to another without having to travel on State Route 29, which is frequently congested due to high regional traffic demand. The potential street extensions provide for various levels of access to accommodate different modes of travel. As shown in Figure 5.3, they include the following:

1.0. Starr Avenue extension north to Adams Street;

2A/2B/2C. Starr Avenue, College Avenue, or Allison Avenue extension to Mills Lane;

3.0. Adams Street extension from its current eastern terminus to Starr Avenue; and

4A/4B. Alternative extensions to the Silverado Trail, by studying potential extensions of Adams Street or Mills Lane.

General Plan implementing action CR1.B provides guidance for any future roadway extensions. The City envisions that each of the "Future Roadway Extensions", as identified in Figure 5.3, would at a minimum consist of a bicycle/pedestrian path, equivalent to a "Class 1 Bike Path", and would also be designed to accommodate emergency vehicles. Any proposed improvement of the road extensions identified in Figure 5.3 intended to accommodate vehicular automobile and truck traffic would trigger a requirement for a "Special Study", subject to City Council approval, to assess the net benefit of the proposed vehicular improvement, including, among other issues, the cost of constructing the vehicular extension and any impacts of the vehicular extension on roads and neighborhoods in the area. Any development project proposed on property located within the future alignment of the "Future Roadway Extensions" as depicted in Figure 5.3, would,

Sidewalks in the Central Business District have several pedestrian amenities such as benches, trees, and street lights.

as part of their review and entitlement process, be responsible for preparing a "Special Study" as described in this Chapter to determine whether the subject extension will consist of the minimum bike/pedestrian path improvement, or if the extension will be constructed to also accommodate vehicular auto and truck traffic. In either case, the subject development project would construct and fund its "fair share" cost of the "Future Roadway Extension".

To reduce the attractiveness of the new streets as cut-through routes, vehicle turn restrictions may be implemented at particular locations. In some locations, new bridges may also be needed to replace bridges at the end of their design life, or as part of new street connections.

St. Helena has several Class III bicycle routes.

PEDESTRIAN AND BICYCLE NETWORK

Pedestrian Circulation

The Central Business District surrounding Main Street is where the greatest number of pedestrians will be served in St. Helena. Downtown was originally developed with a grid of streets that includes a comprehensive network of sidewalks. Older neighborhoods surrounding the downtown core generally have well-maintained sidewalks that provide pedestrian access between residential areas and schools, community centers, and other walkable destinations.

Neighborhoods near the city's periphery have fewer pedestrian amenities, and many lack sidewalks. Some of these neighborhoods have a rural character where sidewalks may not be appropriate, whereas other post-World War II suburban developments were designed primarily for vehicular access and would benefit from improved pedestrian access

An inventory of existing sidewalks, marked crosswalks, curb ramps and trails was completed for St. Helena as part of the 2016 Napa Countywide Pedestrian Plan (See Figure 5.4). The Countywide Plan, which includes a pedestrian plan for St. Helena, identified pedestrian improvements for key areas of the city in order to improve pedestrian circulation in the vicinity of schools, businesses, and transit facilities, as well as to bolster connections to multi-use pathways.

Bicycle Circulation

St. Helena has an extensive network of Class III bicycle routes, which are routes marked for shared use with motor vehicles. However, bike lanes and multi-use paths that provide dedicated space for bicyclists have not yet been developed in St. Helena, and bicycle support facilities, such as bicycle parking, are lacking in many areas. Additionally, both pedestrian and bicycle access to open space and regional destinations throughout the Napa Valley could be improved through a system of off-street multi-use paths.

Reducing local vehicle trips into downtown St. Helena by shifting those trips to biking or walking would help alleviate congestion and parking concerns and promote increased health. Implementation of a citywide bikeway network that

includes the construction of bicycle facilities at activity centers throughout the city could greatly increase the mode share of bicycling. Key activity centers that could be conducive to increased rates of bicycling include the downtown area, bus stops, schools, parks, hotels, and local wineries. Development of the Vine Trail and a shared use path along Sulphur Creek would provide greater recreational, tourist, and commuting choices by bicycle.

Bicycle Classifications

The City's bikeways include three classifications: bike paths, lanes, and routes. These classifications are described below.

Class I Bikeway (Bike Path) paths provide a separate right-of-way and are designated for the exclusive use of people riding bicycles and walking with minimal cross-flow of vehicle traffic. Class I Bikeways can also offer opportunities not provided by the road system by serving as both recreational areas and/or desirable commuter routes.

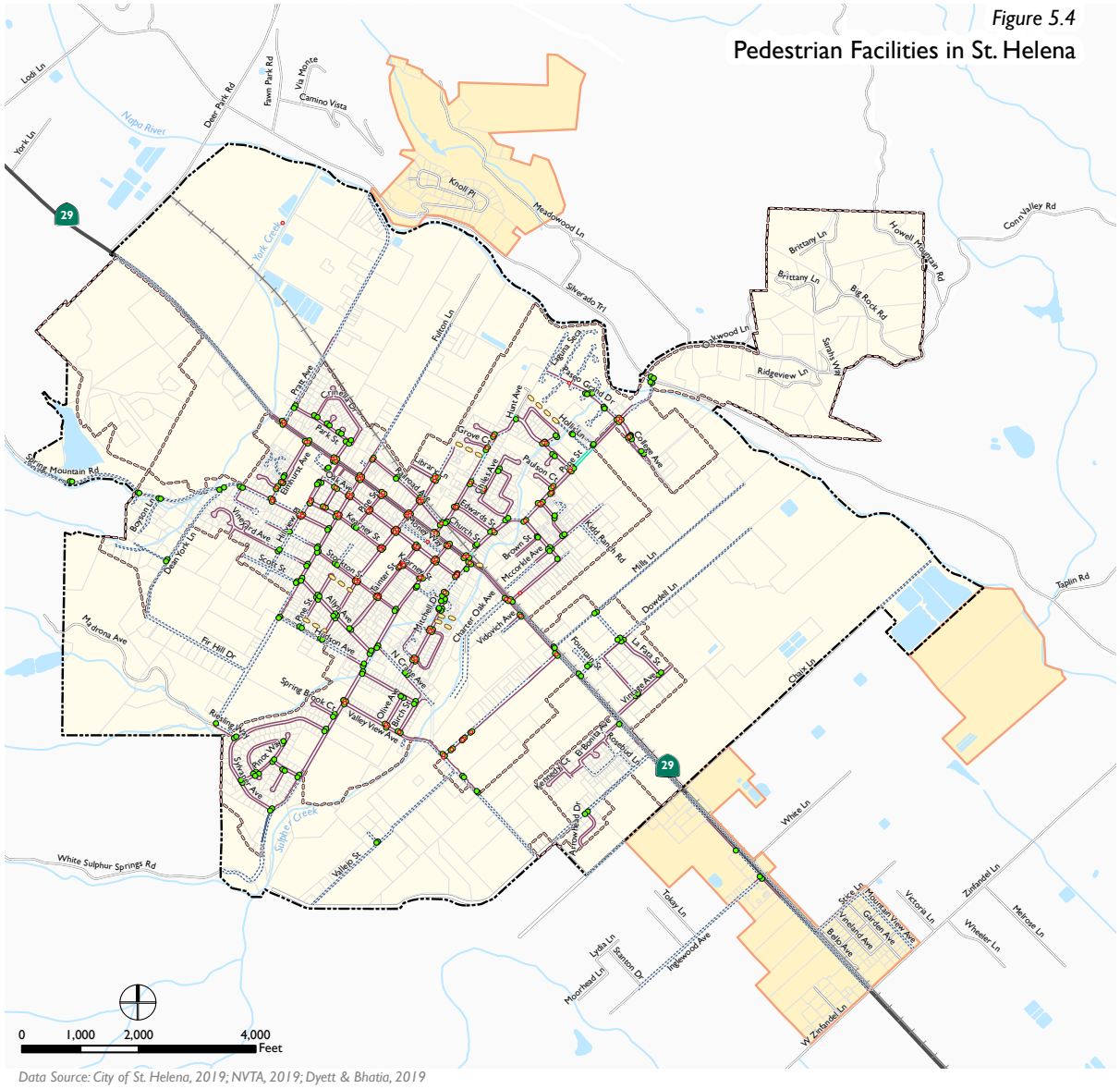
Class II Bike Lanes provide designated street space for bicyclists, typically adjacent to the outer vehicle travel lanes. Bike lanes include special lane markings, pavement legends, and signage. Bike lanes may be enhanced with painted buffers between vehicle lanes and/or parking, and green paint at conflict zones (such as driveways or intersections).

Class III Bike Routes provide enhanced mixed-traffic conditions for bicyclists through signage, striping, and/or traffic calming treatments, and to provide continuity to a bikeway network. Bike routes are typically designated along gaps between bike trails or bike lanes, or along low-volume, low-speed streets. Bicycle boulevards provide further enhancements to bike routes to encourage slow speeds and discourage non-local vehicle traffic via traffic diverters, chicanes, traffic circles, and/or speed tables. Bicycle boulevards can also feature special wayfinding signage to nearby destinations or other bikeways.

Class IV Bikeway (Separated Bikeway) Separated Bikeways, also referred to as cycle tracks or protected bikeways, are bikeways for the exclusive use of bicycles which are physically separated from vehicle traffic. Guidelines for Separated

Figure 5.4

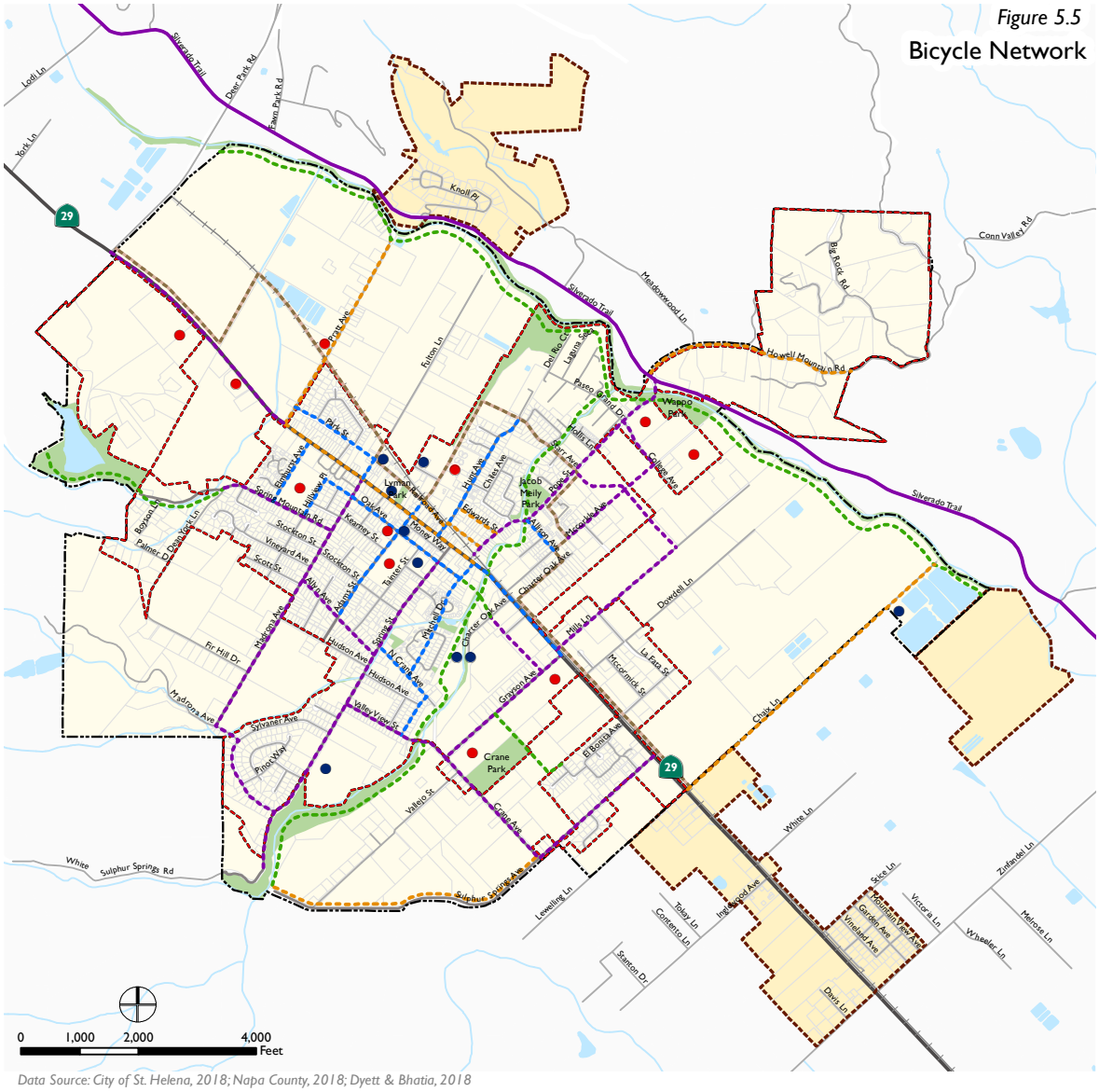
Pedestrian Facilities in St. Helena



Data Source: City of St. Helena, 2019; NVTA, 2019; Dyett & Bhatia, 2019

- Curb
- Asphalt
- Existing
- Missing
- Railroads
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

Figure 5.5
Bicycle Network



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

Proposed 2040 Bicycle Network
- Proposed Class I Bicycle Path
- Proposed Class II Bicycle Lane
- Proposed Class III Bicycle Route
- Proposed Bicycle Boulevard
- Proposed Napa Valley Vine Trail*

- Existing Class II Bicycle Lane**
- Highway
- Major Roads
- Local Roads

- School
- Public Facility
- Railroads
- Parks and Open Space
- Urban Limit Line
- Study Areas
- City of St. Helena

*The Proposed Napa Valley VineTrail will include Class I, Class II and Class III segments.

**The existing bike path is a County path.

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A Class I bike trail connects Pope Street to Wappo Park

Bikeways were recently adopted by Caltrans in 2015. Types of separation may include, but are not limited to, grade separation, flexible posts, physical barriers, or on-street parking.

Approved Bicycle Network

St. Helena's bicycle network aims to maximize connectivity throughout the city (Figure 5.5). The St. Helena Bicycle Plan, prepared in collaboration with the Napa Valley Transportation Authority, outlines existing and planned bicycle routes intended to provide safe and convenient bicycle access to parks, open spaces, commercial areas, residential neighborhoods, and community facilities. Once completed, the network will play a key role in bolstering the City's efforts to increase the use of bicycles as non-auto modes of transit, and to reduce overall vehicle miles traveled in the city.

Proposed Class I bicycle pathways cross the city, connecting parks and open spaces with multimodal trails that are completely separate from auto traffic. These shared-use pathways provide key cross-city connections and include the proposed Napa Valley Vine Trail and a shared-use path along Sulphur Creek and

the Napa River. Additional Class I pathways connect the Lower Reservoir Park to Spring Mountain Road and Crane Park to Grayson Avenue. Shared-use paths should accommodate all pedestrians, including persons that use an assistive mobility device for a disability or medical condition.

Class II bicycle pathways that provide a designated lane for bicycle travel are proposed along many of St. Helena's streets. Key east-west routes include: Madrona Avenue between Main Street and Sylvaner Avenue; Spring Street between Oak Avenue and Sulphur Creek; Pope Street between Main Street and Silverado Trail; and Grayson Avenue and Sulphur Springs Avenue, between Main Street and Crane Avenue. Key north-south routes are located on Spring Mountain Road, Valley View Street, Crane Avenue, and State Route 29 between Deer Park Road and Pratt Avenue.

The network includes a series of Class III pathways designated for shared-use of vehicles and bicycles. Some of these pathways have an additional designation for use as Bicycle Boulevards. Key Class III pathways include Chaix Lane, Pratt Avenue, and State Route 29 between Pratt and Grayson avenues. Bicycle Boulevards are primarily located in the residential neighborhoods directly east

and west of Main Street. Key Bicycle Boulevards include Mitchell Drive, Adams Street, and Oak Avenue.

Bicycle Parking and Support Facilities

Every bicycle trip has two main components: the route selected by the bicyclist and the "end-of-trip" facilities at the destinations. The availability of both safe bicycle routes and secure and convenient facilities is critical to promoting greater bike usage in St. Helena. Bicycle facilities can include short- and long-term bicycle parking, showers, lockers, and good lighting.

Providing short- and long-term bicycle parking at key destinations, such as downtown St. Helena, parks, schools, community facilities, transit stops, and shopping areas, is an essential part of the development of a complete bicycle network. Bicycle parking that is highly visible, accessible, and easy to use can help encourage cycling as a mode of transportation in the community. Similarly, conveniently located facilities such as showers, bicycle repair stations, and air for inflating tires can encourage cycling, as can locating these facilities in well-lit areas and indoors or covered where possible.

TRANSPORTATION PERFORMANCE MEASURES

A key action to address the future of transportation and mobility in St. Helena will involve developing new transportation performance measures, in addition to more traditional level of service standards, to ensure a balanced perspective on transportation including all of the community's values and interests. As such, the City is committed to augmenting the traditional automobile Level of Service (LOS) threshold with measures that capture transportation system performance from the perspective of all users and incorporate the environmental consequences of transportation decisions.

A new approach designed to achieve the following objectives will be needed:

- Develop an alternative way of evaluating new land use development impacts for automobiles, pedestrians, bicycles, and transit.

- Develop a quantifiable way of measuring the transportation-related GHG impacts and benefits of new land use development and transportation infrastructure improvements.

The purpose of augmenting current transportation performance measures is to develop a meaningful nexus between transportation-related development impacts and appropriate actions to address these impacts. Additional performance measures would improve multimodal circulation and manage traffic congestion in St. Helena. The reasons for adopting new standards include:

- Mitigation measures based solely on traditional LOS can sometimes result in widening roads and intersections in a way that conflicts with community character or other values established in this General Plan. Additionally, such measures in isolation can encourage additional vehicle trips and have a negative impact on other travel modes.
- Thresholds for traditional LOS standards are not necessarily linked to the City's vitality and quality of life and can make smart growth projects, such as mixed-use infill development in downtown St. Helena, more difficult.

Several targets, including operating standards for vehicular travel times on Main Street, standards for new auto trips generated by new development, as well as targets for increasing pedestrian and bicycle trips are set forth in the goals, policies, and implementing actions of this Element. Implementing action CR1.D calls for additional performance measures to improve multi-modal circulation and better address congestion in St. Helena.

TRANSPORTATION DEMAND MANAGEMENT PROGRAM

Transportation Demand Management (TDM) strategies aim to reduce the amount of motor vehicle traffic and manage parking to make travel behaviors more sustainable. TDM policies and programs also encourage the use of modes other than single-occupancy vehicles for travel. Strategies may include carpooling and car-sharing, transit subsidies or reimbursements, paid parking, and the provision of bicycle support facilities at workplaces.

The General Plan supports the establishment of a citywide TDM program to help reduce peak period motor vehicle traffic and manage vehicle parking within St. Helena. NVTA's Strategic Transportation Plan identifies a number of TDM strategies that are applicable to reducing motor vehicle traffic congestion in St. Helena. Funding for a citywide TDM program should be provided through traffic mitigation fees and in-lieu parking fees. In addition, the City should encourage existing employers to participate in the TDM program.

5.5 Goals

Meet Current and Future Transportation Needs.

Meet the current and future mobility needs of residents, businesses and tourists with a balanced, multimodal transportation system, with transportation performance measures that aim to reduce greenhouse gas emissions, manage vehicle congestion along the citywide street network, and increase non-automobile and emergency connections throughout St. Helena. The City plans and manages the transportation network to achieve the following objectives:

a) Ensure that Traffic Service Level "C" or better be maintained at all signalized and unsignalized intersections in St. Helena, except along Main St/Hwy 29 where Service Level "D" shall be permitted. Exceptions to this goal may be permitted in situations where the preexisting 2015 Traffic Service Level do not meet these "C" and "D" standards. In such situations, the projected Traffic Service Level resulting from a proposed project, shall not be "significantly lower" than the 2015 Traffic Service levels as documented in the 2018 General Plan Update Program EIR. The City Council has the discretion to determine what constitutes a "significantly lower" Traffic Service Level.

Examples of measures of "significantly lower levels of service" include 1) should state deterioration from an acceptable LOS to an unacceptable LOS in accordance with NVTA's Countywide Transportation Plan; 2) a significant increase in the volume to capacity ratio for a signalized intersection; or 3) a significant increase in delay at an unsignalized intersection.

b) Provide a complete bicycle and pedestrian network between residential areas, downtown, recreational open space areas, and other major activity centers identified by the City.

c) Reduce transportation-based GHG emissions communitywide and from City-controlled sources.

d) Increase the share of trips made by transit, bicycling, and walking (as measured by the American Community Survey).

e) Reduce current peak hour vehicle travel times on Main Street.

f) Create an Interconnected Multimodal Circulation System with a safe and integrated bicycle and pedestrian system throughout St. Helena for people of all ages and abilities.

g) Increase the City's share of walking, bicycling, transit, and carpooling trips, in accordance with NVTA's 2035 goals.

h) Provide a safe, efficient, and well-maintained circulation system that supports safe and efficient travel for all modes and users.

i) Ensure a Sustainable Transportation Network. Reduce congestion and greenhouse gas emissions and increase the mode share for all non-single-occupancy trips. To achieve this goal, the City supports the use of transportation demand management (TDM) strategies that promote sustainable transportation practices through encouragement, education, and incentives.

5.6 Policies and Implementing Actions

A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. Balanced and Multimodal System;
2. Safe, Accessible, and Comprehensive Bicycle and Pedestrian Network;
3. Sustainable Mobility Practices;
4. Safe and Well-Maintained Circulation System;
5. Parking; and
6. Improvements and Phasing.

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together, they provide strategic directions for City staff and partners, highlighting where time and resources should be focused.

topic area
1 BALANCED AND MULTIMODAL SYSTEM

Policies

CR1.1 Promote a connected street and bicycle and pedestrian network within the city to provide better internal automobile, bicycle, and pedestrian connections for residents.

CR1.2 Provide complete streets that balance the diverse needs of users of the public right-of-way, in accordance with the California Complete Streets Act of 2008.

CR1.3 Pursue appropriate funding for the development of a balanced transportation system.

CR1.4 Develop and use, in addition to intersection level of service standards, performance measures that consider all road users to determine transportation impacts of new development.

CR1.5 Avoid mitigation measures that negatively impact the walking and bicycling environment and encourage driving.

Promoting complete streets will balance the diverse needs of pedestrians, bicycles, automobiles, and transit.

CR1.6 Continue to support NVTA in the provision of convenient transit, including regional and local service. Support more frequent and reliable transit service between communities to reduce the number of people traveling to or from St. Helena to work by private vehicle. Promote and encourage use of the St. Helena Vine Shuttle.

topic area
1 BALANCED AND MULTIMODAL SYSTEM

CR1.7 Explore the use of the rail corridor to reduce traffic, including working with the owners of the Wine Train to consider the possibility of developing hospitality and other tourist-oriented uses that are primarily accessed by passengers riding on the Wine Train Corridor.

CR1.8 Reduce transportation-based GHG emissions from City-controlled sources by employing the following strategies:

- Complete the City's bicycle and pedestrian network, which will increase transportation choices in the city and reduce the demand for vehicle travel
- Implement "smart growth" and sustainable planning principles as defined in the Land Use Element;
- Maximize the overall efficiency of the transportation system, including managing the transportation network through a citywide transportation system management program;Encourage/provide incentives for employee car pools.
- Implement "smart growth" and sustainable planning principles as defined in the Land Use and Growth Management Element;
- Encourage jobs/housing match, as defined in the Housing Element; and
- Encourage/provide incentives for employee car pools.

CR1.9 Promote a walking and bicycling environment that is comfortable and convenient. Ensure that all St. Helena streets have no more than a single through-automobile lane in each direction, plus a single left-hand turning lane where appropriate, even if this requirement increases vehicle travel times. Allow exceptions if an extra lane would reduce the possibility of collisions.

CR1.10 Strive to maintain a ten minute or less travel time during peak periods along State Route 29, from the northern and southern city boundaries.

topic area
1 BALANCED AND MULTIMODAL SYSTEM

CR1.11 Establish a multimodal transportation impact fee program as part of the City's existing transportation impact fee, to finance and implement project mitigations that help achieve the City's traffic reduction goals. As part of the multimodal transportation impact fee program, require new development to analyze travel demand and finance and construct all required off-site circulation improvements, including proposed road extensions, necessary to mitigate project impacts and to reduce the severity of cumulative transportation impacts to all modes of travel.

Implementing Actions

CR1.A Use the street typologies as defined in the Circulation Element as a basis for improving and managing streets. Improve vehicle, pedestrian and bicycle facilities on streets based on this system.

CR1.B Extend Oak Avenue south from Mitchell Drive to Grayson Avenue, constructing the new roadway as a two-lane Downtown/Mixed Use Street with bicycle lanes and sidewalks, consistent with the City's Engineering Standards. Implement traffic calming measures, such as speed lumps, bulb outs, and/or chicanes to limit travel speeds between intersections and optimize safety for all roadway users.

CR1.C Evaluate the following new connections to promote increased bicycle, pedestrian, and non-automobile-based transportation, consistent with the requirement for the preparation of a "Special Study" as described in the Circulation Element. Where feasible, preserve existing rights-of-way.

- Starr Avenue extension north to Adams Street
- Consider three options for a connection to Mills Lane: a) Starr Avenue extension to Mills Lane; b) College Avenue extension to Mills Lane; or c) Allison Avenue extension to Mills Lane
- Adams Street from its current eastern terminus to Starr Avenue

topic area
1 BALANCED AND MULTIMODAL SYSTEM

- Consider two options to connect downtown St. Helena to Silverado Trail: a) Adams Street extension to Silverado Trail; b) Mills Lane extension to Silverado Trail

CR1.D Identify streets that should become "more complete," through consideration of transit priorities, sidewalk gap closures, new bikeways, and vehicle traffic calming measures.

CR1.E Adopt and implement transportation performance measures that promote an efficient transportation system from the perspective of all users. These performance measures shall supplement the City's traditional automobile Level of Service (LOS) thresholds with the goal of improving multimodal circulation and managing traffic congestion in St. Helena.

CR1F Support efforts to secure additional funding for regional transit service to St. Helena for residents, workers and visitors as a viable alternative to travel by private automobile. Focus on improving the bus service for use by commuters.

CR1.G Subject all rail corridor uses to use permit review; locate passenger facilities within zoning districts which minimize impacts to established and proposed land uses.

CR1.H Study the potential for integrating Wine Train activities with car-free tourism strategies to provide an alternative for tourists to visit St. Helena without a car.

CR1.I Measure total automobile trips generated by new developments on a per project basis, to reduce vehicle trips. Maintain a citywide trip generation analysis methodology that evaluates the effects of land use and built environment changes on travel choices and behavior.

topic area
1 BALANCED AND MULTIMODAL SYSTEM

CR1.J Evaluate changes to vehicle travel times along State Route 29 on a per-development or per-project basis. Establish significance criteria for determining if an increase in travel time or decrease in Intersection Level of Service, resulting from new development is significant.

CR1.K As new land use development and redevelopment occurs, require the provision of links to existing streets, street right-of-way dedications, and improvements to the local roadway network (including pedestrian, transit, bicycle, and other non-motorized vehicle improvements), consistent with adopted Engineering Standards, public safety standards, and the St. Helena Bicycle Plan. Additionally, in the case of subdivisions, require the provision of sidewalks on all local streets within the development.

CR1.L Adopt and implement a citywide, Multimodal Transportation Mitigation Fee program to provide funding on a fair share bases for transportation improvements that reduce citywide automobile trips and contribute to the provision of a continuous path of travel for walking and bicycling from the development site to the center of downtown and other key destinations. Such transportation improvements include completing the bicycle and pedestrian network, implementing transportation demand and systems management strategies, and improving traffic signal coordination on State Route 29. Ensure that fees take into consideration the contribution of new development to changes in net new automobile trips and change in travel time along State Route 29.

CR1.M Continue to work with Caltrans to ensure regional coordination and manage congestion on State Route 29.

topic area
2 COMPREHENSIVE PEDESTRIAN AND BICYCLE NETWORK

Policies

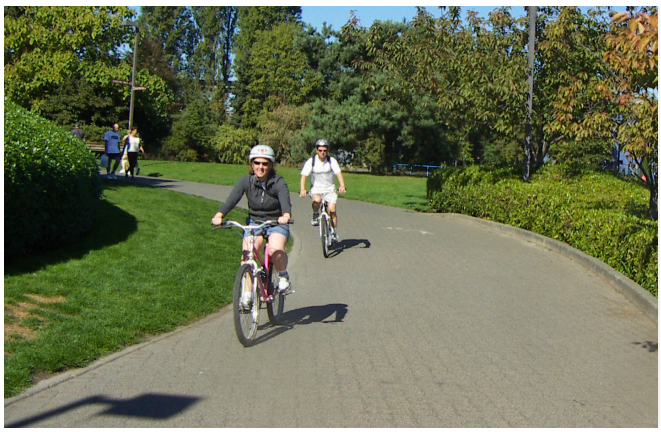
CR2.1 Create a comprehensive bicycle and pedestrian network that enhances neighborhood connectivity. Develop the system as shown in Figure 5.4 to expand and improve the pedestrian and bikeway system.

CR2.2 Promote walking and bicycling as safe and convenient modes of transportation.

CR2.3 Ensure secure, accessible, and convenient bicycle parking facilities throughout St. Helena, including downtown, commercial areas, schools, and parks.

CR2.4 Preserve and enhance pedestrian connectivity and safety throughout St. Helena.

CR2.5 Improve the pedestrian experience through streetscape enhancements, focusing improvements where there is the greatest need, and by orienting development toward the street.



Walking and bicycling should be promoted as safe and convenient modes of transportation.

CR2.6 Encourage walking and bicycling trips to St. Helena schools.

topic area
2 COMPREHENSIVE PEDESTRIAN AND BICYCLE NETWORK

Implementing Actions

CR2.A Implement a citywide bicycle and pedestrian master plan to improve bicycle and pedestrian safety, and to encourage community members to walk and bike more often. Build on St. Helena's existing partnership with the Napa Valley Transportation Authority (NVTA) to ensure that the City's master plan is consistent with countywide transportation planning efforts. Coordinate with NVTA, Napa County, and property and business owners and seek funding to implement the improvements identified for St. Helena in the Napa Countywide Pedestrian Plan.

(Also see the following elements: Open Space and Conservation, Topic Area 2; and Parks and Recreation, Topic Area 6)

CR2.B Develop guidelines for the design, construction and maintenance of bicycle and pedestrian paths in St. Helena. Coordinate the guidelines with Napa County or regional trail connections.

CR2.C Require any new development and modifications to existing projects to provide bicycle and pedestrian improvements and amenities, consistent with adopted Engineering Standards and the St. Helena Bicycle Plan.

CR2.D Identify and pursue funding opportunities for bicycle projects on the local, state and federal levels. Update the existing and proposed bicycle system every five years, as required by Caltrans to qualify for Bicycle Transportation Account funding.

CR2.E Allocate funds and/or identify funding sources for pedestrian and streetscape improvements.

CR2.F Improve street crossings and gaps in the sidewalk system through development review and capital improvement projects.

topic area
2 COMPREHENSIVE PEDESTRIAN AND BICYCLE NETWORK

CR2.G Adopt a crosswalk installation policy to promote pedestrian safety and accessibility.

CR2.H Review pedestrian-vehicle collision data on an annual basis and identify areas for pedestrian safety improvements.

CR2.I Pursue state and federal grant opportunities to fund a Safe Routes to School program and other bike/pedestrian programs.

CR2.J Consider the feasibility of a citywide bike sharing program for municipal and/or public use.

CR2.K Require safe and accessible bicycle and pedestrian access for all newly-developed public facilities and sites.

CR2.L Enhance the pedestrian environment within the commercial area, and support the development of walking paths, multi-use trails, and bicycle trails throughout St. Helena with the goal of connecting to a countywide system. Encourage the use of group transit options in order to decrease tourist-generated traffic congestion. Encourage the use of pedi-buses by the school district to guide children safely and in a more healthful and sustainable manner to school.

topic area
3 SUSTAINABLE MOBILITY PRACTICES

Policies

CR3.1 Provide incentives and encourage existing major employers to develop and implement transportation demand management (TDM) programs to increase the number of people who bike, walk, and take transit to work and reduce peak-period trip generation. Coordinate as appropriate with NVTA to implement strategies including the following:

- Transit subsidies or reimbursement to residents and employees (often referred to as "commuter check" or "EcoPass");
- Car-share, car-pooling, and neighborhood electric vehicle programs to reduce the need to have a car or second car;
- Integrated bicycle parking and support facilities, primarily to reduce trips within the city;
- Modified parking codes to manage the supply of parking that generates frequent turn-over and serves multiple users; and
- Marketing and information programs to encourage alternative transportation modes.

Supporting TDM programs such as transit and car-sharing can reduce peak-period traffic.

CR3.2 Support the implementation of NVTA goals to reduce/restrain growth of automobile vehicle miles traveled (VMT).

CR3.3 Shift travel from single-occupancy vehicles to other modes so that by 2040, 45 percent of work trips by St. Helena residents and workers are by carpool, transit, walking or bicycling (see Table 5.5 at the end of this section for 2040 commute mode split targets).

topic area
3 SUSTAINABLE MOBILITY PRACTICES

CR3.4 Work with the wine and hospitality industries to manage congestion and create and promote car-free tourism services, coordinating as appropriate with NVTA on TDM strategies.

(Also see the Environmental Sustainability Element, Topic Area 2)

CR3.5 Work with the school district to increase the use of carpooling and the bus system to reduce drive-alone trips to St. Helena schools.

CR3.6 Support development of the bikeway and pedestrian networks to provide a convenient opportunity for at least 20 percent of commuters to get to work by walking or bicycling.

CR3.7 Support compact, mixed-use development as outlined in the Land Use and Growth Management and Housing elements.

TABLE 5.5: Commute Mode Split Targets for 2040

Mode	Commute Trips by Workers To and From St Helena	
	2016	2040 Goal
Drove alone	77.8%	N/A
Carpooled	3.8%	At least 20%
Transit	1.0%	At least 5%
Bicycle	2.6%	At least 10%
Walked	6.2%	At least 10%
Other means (including work at home)	8.6%	N/A
Source: American Community Survey 2016 Estimates		

topic area
3 SUSTAINABLE MOBILITY PRACTICES

Implementing Actions

CR3.A Study the feasibility of a citywide TDM program and review the effectiveness of the existing Traffic Impact Mitigation Fee.

CR3.B If deemed feasible, as part of the municipal code, require TDM measures for all new non-residential development.

CR3.C Regularly monitor progress toward increasing the number of residents and workers walking, biking, and using public transit.

CR3.D Work with the wine and hospitality industries, including the Wine Train, to manage congestion and create and promote car-free tourism services.

topic area
4 SAFE AND WELL-MAINTAINED CIRCULATION SYSTEM

Policies

CR4.1 Ensure adequate maintenance of transportation facilities such as streets, sidewalks, and multi-use paths. Emphasize safety considerations, impacts on non-automobile modes of travel, and overall impact on long-term resource needs as maintenance priorities.

CR4.2 Ensure safety on residential neighborhood streets to promote walking and bicycling and preserve neighborhood livability.

CR4.3 Continue efforts to calm traffic and minimize traffic volumes and speeds in residential areas.

CR4.4 Strive to bring all pedestrian facilities into compliance with Americans with Disabilities Act (ADA) specifications.

CR4.5 Improve traffic safety and encourage walking and bicycling trips to St. Helena schools through a Safe Routes to School program.

topic area
4 SAFE AND WELL-MAINTAINED CIRCULATION SYSTEM

Implementing Actions

CR4.A Review and update the Capital Improvement Program on a regular basis to identify and prioritize circulation facility improvements. Ensure that improvements support the goals, policies, and implementing actions identified in the General Plan.

CR4.B Develop strategies to calm traffic on streets that experience speeding or cut-through traffic, such as Starr Avenue. Include a range of solutions including enforcement, engineering, and education efforts to calm vehicle traffic.

CR4.C Establish a transition plan that identifies prioritization and funding mechanisms for improving street conditions to meet ADA specifications. Transition plans are an important part of meeting ADA standards.

CR4.D Pursue Safe Routes to School grants to improve safety and encourage bicycling and walking trips to St. Helena schools.

CR4.E To reduce the effect of regional traffic on local streets, monitor traffic volumes and speeds on potential regional cut-through routes, including Oak Avenue and Valley View Street and other problematic streets like Spring, Pope, Starr, etc. Due to the forecast potential for traffic volumes to increase on Oak Avenue and Valley View Street, the City shall consider installing traffic calming or traffic diverting devices to discourage regional cut-through traffic with the goal of ensuring that, over the duration of the General Plan, traffic volumes on these streets do not increase significantly.

CR4.F To ensure the multimodal Transportation Mitigation Fee (TMF) program serves as acceptable mitigation for the increase in traffic volumes resulting from build out of the General Plan, the City shall explore TMF programs within 6 months of adoption of the General Plan Update. As part of this effort, the City shall conduct a fee study to ascertain whether the fees designated under the

Street trees, sidewalks and signage are strategies to calm traffic on streets.

topic area
4 SAFE AND WELL-MAINTAINED CIRCULATION SYSTEM

existing fee program should be revised. As part of the fee study development, the City should consult with other local agencies, including Caltrans and the California Public Utilities Commission (CPUC), to identify potential improvements to Main Street beyond those currently under construction, and to at-grade railroad crossings that could be incorporated into the TMF program.

CR4.G The City shall consider the use of signal preemption for emergency response or evacuation in locations where Police and Fire Departments response times are not met.

CR4.H Connect Vallejo Street to Sulphur Springs with a fully paved street connection meeting the City's established Street Standards.

topic area
5 PARKING

Policies

CR5.1 Ensure an adequate balance of parking demand and supply. Closely manage and track parking supply within the downtown area by developing a parking management program and implementing a "park-once" strategy.

CR5.2 Maintain on-street parking and/or parklet on Main Street in the Central Business District for the convenience of shoppers and to provide a physical and psychological buffer between Main Street traffic and pedestrians.

Implementing Actions

CR5.A Develop a "park-once" strategy for visitors to improve air quality, reduce congestion, promote alternatives to driving alone, and educate and involve businesses and residents. Work with employers to encourage employees to park on the fringes of downtown, thereby leaving convenient parking spaces open for shoppers.

CR5.B Develop and maintain an off-street parking program for the City's existing Parking Impact Area and consider modifying the boundaries of that area. The program will identify and prioritize locations where additional off-street parking can be provided. When sufficient funds have accumulated for the acquisition of a site and construction of parking on that site, commence with implementation of providing parking on that site.

topic area
6 IMPROVEMENTS AND PHASING

Policies

CR.6.1 Prioritize and implement improvements to the circulation system with an emphasis on bicycle and pedestrian improvements and expanded transit service.

CR6.2 Require concurrent infrastructure development for any new development projects that have impacts on the circulation system, including streets, paths, trails, sidewalks, and public transit.

CR6.3 Consider requiring dedications and mitigations in addition to traffic mitigation fees for any development that occurs adjacent to proposed street corridors in order to reinforce circulation system continuity. Traffic mitigation fees are necessary to mitigate existing traffic congestion and congestion caused by new development. Consider revising fee schedules to fund needed vehicular, bike, and pedestrian improvements in order to appropriately mitigate impacts. The fee schedule must be based on an established "nexus" between new development and the planned improvements.

On-street parking on Main Street is convenient for shoppers.

Implementing Policies

CR6.A Evaluate and prioritize all new paths and trails (identified in Section E: St. Helena's Circulation and Mobility Future) when adequate funding is secured and concurrent with any new, adjacent developments.

CR6.B Keep up to date the existing St. Helena Traffic Mitigation Fee program to provide funding for all new road connections and trails included in the Circulation Element, in order to ensure new connections and trails are constructed in a timely manner.

topic area
6 IMPROVEMENTS AND PHASING

CR6.C Develop a plan for all non-motorized vehicles, including bicycles, pedestrians, and scooters. To create a meaningful alternative to automobile usage for short trips, multi-use paths should connect home-to-work or home-to-local shopping locations. Link neighborhoods and commercial areas on a path system and encourage active modes of transportation.

chapter six

historic resources

6 historic resources

St. Helena is a community rich in historic resources including the Culinary Institue of America's Greystone Campus.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture and entertainment

6.1 Purpose of the Element

The Historic Resources Element is not a State-mandated element; however, it presents a framework for governing future decisions about rehabilitating, retrofitting and adaptively reusing St. Helena's historic buildings. The Historic Resources Element aims to effectively manage the community's historic assets including, but not limited to, buildings, bridges, and other structures in order to maintain St. Helena's unique sense of place and ensure that these assets can be enjoyed by current and future residents and visitors.

The Historic Resources Element includes the following sections.

- **6.2 Historic Resources in St. Helena**. Identifies key issues related to the preservation of historic resources in St. Helena (p. 6-3).
- **6.3 Key Findings**. Identifies key findings based on an existing conditions analysis (p. 6-10).
- **6.4 Goals**. Defines overarching goals to guide policies and implementing actions (p. 6-12).
- **6.5 Policies and Implementing Actions**. Identifies policies and implementing actions to preserve the City's cultural and historic resources (p. 6-14).

6.2 Historic Resources in St. Helena

Napa Valley has a long history of settlement dating back to around 2000 B.C., when Native Americans first inhabited the Napa Valley. Native Americans inhabited the area for thousands of years, and at the time of first contact with European settlers of the area, the Wappo had established a village near present day St. Helena called Annakatanoma. Until the 19th century, approximately 7,000 Wappo resided in the Napa Valley and surrounding hills, including Mount St. Helena.

St. Helena was first settled by members by the Native American Yukian group who occupied much of Northern California, including present day Napa County. When Spanish soldiers arrived in the area, they called the Yukians guapo, meaning courageous, a term that later became "Wappo."

Since its early days in the mid-19th century, St. Helena has been an agricultural and commercial center serving the surrounding towns and farming areas of the upper Napa Valley. The community initially served as a transfer point for agricultural goods and natural resources destined for markets in Napa and San Francisco. The City's more recent cultural roots stem from its role as an immigration destination for European settlers; however, the histories of both Native American and European peoples are important to the identity of St. Helena.

The influences of these early residents are exemplified in the City's historic structures, in particular stone and brick masonry structures, as well as European-styled, timber-constructed barns, bridges, wineries, and social halls located throughout the city. Additionally, St. Helena has typically been a destination for immigrants seeking labor opportunities in mining and the surrounding agricultural fields. In early years, Chinese laborers ventured to St. Helena from San Francisco and the mining areas of the Sierra foothills. More recently, workers from Mexico and Central America have settled in the area, bringing with them vibrant cultural traditions reflected in the holiday celebrations, arts, and culinary experiences of the area. Protecting and preserving the city's historic and cultural resources is essential to ensuring that St. Helena maintains its unique character while adapting to social and political changes and potential growth demands in the coming decades.

BENEFITS OF HISTORIC PRESERVATION

In 1998, downtown St. Helena was designated as a Nationally Registered Historic District, and the city boasts a number of landmark buildings that have been listed on the National and California State Historic Registers. Creative, forward-thinking planning can help the City leverage these historic resources to maximize their impact on local economic growth and maintain the high quality of life and character for which the city is known. Effective historic preservation policies can have many positive impacts, including cultural, social, and economic benefits. In addition, further integrating historic preservation into land use and urban design plans can contribute greatly to the city's long-term vitality.

In general, the social benefits attributable to historic preservation are cultural, educational, or environmental in nature. Collectively they contribute to the city's overall livability and quality of life. Cultural benefits include the celebration of diverse communities and the fostering of a sense of civic belonging and pride. For example, St. Helena is home to several historic wineries that contribute to the city's agriculture-based identity. Historic wineries include Beringer, Charles Krug, and Spottswoode. Additionally, educational benefits can take many forms, and often lay the foundation for collaboration between local educational, non-profit, and civic institutions. These collaborations may result in bringing local history to life for residents and visitors, enriching the overall experience of the city. Lastly, preserving and rehabilitating historic structures and surroundings can have positive environmental benefits on St. Helena by capitalizing on the investment of time, energy, and resources that have already gone into the construction and maintenance of the buildings. Rehabilitating historic buildings reuses existing materials and can help divert waste construction resources from entering local landfills. Establishing and implementing effective historic preservation policies will help ensure that St. Helena maximizes the breadth and impact of positive cultural, education, and environmental benefits into the future.

6 historic resources

The community of St Helena supports the preservation and restoration of historic resources such as the Logan House.

Economically, historic preservation provides a wide array of direct and indirect benefits to cities and can be a key driver of local economic development strategies. Direct benefits are mostly attributable to State and/or federally-registered buildings that qualify for tax credits and deductions to subsidize rehabilitation and construction costs. One indirect economic benefit, particularly applicable to St. Helena, includes creating a strong sense of place that is attractive to tourists seeking cultural destinations and experiences, and that can draw significant revenue from outside sources to support and circulate locally.

St. Helena's unique historic resources and Napa Valley location provide it with a strong position to capitalize on the economic benefits of well-planned and well-implemented historic preservation measures.

ST. HELENA'S INVENTORY OF HISTORIC RESOURCES

Numerous historical buildings and structures have been recorded within city limits as listed in Appendix A and shown in Figures 6.1 and 6.2. Historic resources are generally concentrated in the central part of the city, although there are historic resources on winery properties and adjacent to the Napa River. The most common historical property types consist of residences and commercial buildings, although other historic resources in St. Helena include barns, warehouses, wineries, churches, schools, bridges, a culvert, street lights, a motel, tankhouses, stonework, roads, a railroad depot, and government buildings. The majority of these properties were recorded as part of the 1977-1978 Napa County Historic Resources Inventory conducted by Napa Landmarks, Inc. and an historical architectural survey conducted by Page & Turnbull, Inc. in 2006.

TABLE 6.1. Historic Resources

Source / Location	Number of Resources[1]
1978 Survey	
Charter Oak District	49
Main Street District	57
Spring Street District	90
2006 Survey	30
National Register of Historic Places	15
National Register of Historic District	St. Helena Historic Commercial District (District includes 36 contributing and 13 non-contributing buildings)

1. Overlap exists among Historic Resource lists.
Source: City of St. Helena, Historic Resources Inventory (1978, 2006)

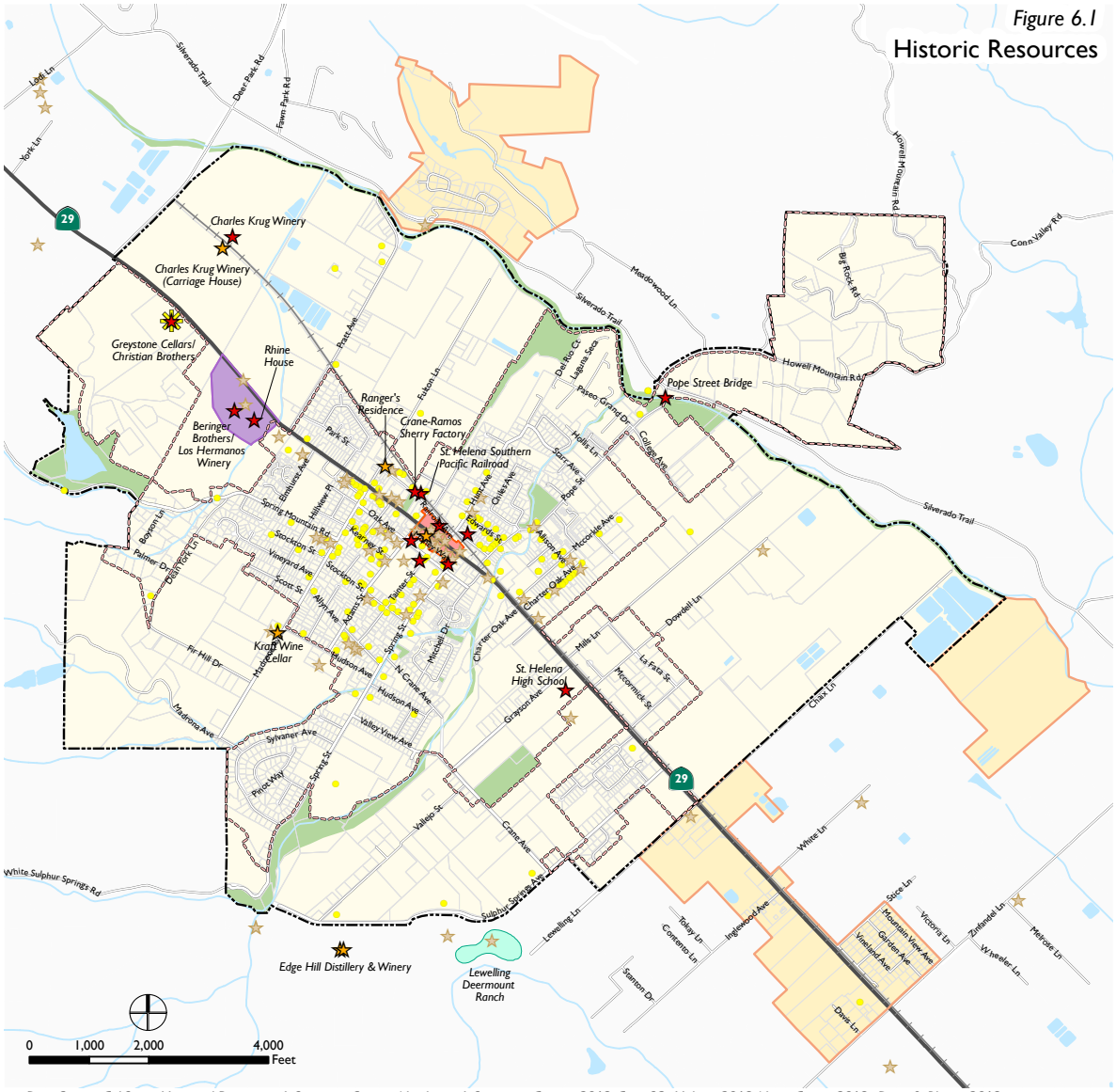
There are several well-preserved buildings along Main Street, including the Oddfellows building.

Eleven historical resources within the City limit are listed in the National Register of Historic Places and California Register of Historical Resources. Two of these historical resources—the Beringer Winery Historic District and the Main Street Commercial Historic District—include multiple buildings and structures, which are indicated by a National Register Status Code of "1D" in Table A-1 of Appendix A. The Main Street Commercial Historic District includes the 34 buildings considered to be contributors to the district's historic character or significance, along with 13 non-contributor buildings. Non-contributors are those buildings that, due to date of construction, alterations, or other factors, do not contribute to the historic character of the district. Numerous other historical buildings in St. Helena appear eligible for listing in the National and California registers, as indicated by a National Register Status Code "3S," which would qualify such properties as historical resources for purposes of CEQA.

6 historic resources

Figure 6.1

Historic Resources



Data Source: California Historical Resources Information System, Northwest Information Center, 2018; City of St. Helena, 2018; Napa County,2018; Dyett & Bhatia, 2018

- National Register
- California Register
- State Landmark
- Eligible for National Register or California Register
- Locally-Designated Resources

National Historic District

- St. Helena Historic Commercial District
- Beringer Winery Historic
- Lewelling "Deermount" Ranch Historic District

- Parks and Open Space
- Urban Limit Line
- Study Areas
- City of St. Helena

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Figure 6.2

Historic Resources Downtown St. Helena

Data Source: California Historical Resources Information System, Northwest Information Center, 2018; City of St. Helena, 2018; Napa County,2018; Dyett & Bhatia, 2018

- National Register
- California Register
- Eligible for National Register or California Register
- Contributor to Historic District
- Locally-Designated Resources
- St. Helena Historic Commercial District
- Parks and Open Space
- Urban Limit Line
- Study
- City of St. Helena

GENERAL PLAN UPDATE
City of St. Helena

DYETT & BHATIA
Urban and Regional Planners

6.3 Key Findings

There are several opportunities related to historic resources in St. Helena. The following key findings are based upon comprehensive existing conditions analysis and community input:

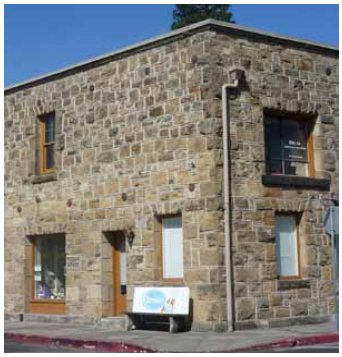
- St. Helena has a wealth of historic resources that contribute to and define its unique sense of place. Implementing measures to preserve and protect these resources can benefit the community for generations to come.
- St. Helena boasts a number of well-preserved buildings along Main Street that help communicate the City's character to those entering or passing through town, particularly from the north. Key landmark buildings include the Starr, Galleron, Ritchie, Oddfellows, and Pritchard buildings. Preserving these structures and ensuring that new development complements their landmark status can help St. Helena maintain its unique character
- The City has adopted a Historic Preservation Overlay District that establishes zoning regulations for historic resources located within the District. Currently, the Historic Preservation Overlay District applies to very few historic properties.
- Although there are more than 200 historically significant resources in the City, most are not included in the Historic Preservation Overlay District. Those properties not recognized may be vulnerable to alterations and demolition.
- St. Helena does not currently have a historic preservation ordinance. However, the design review process that is set up for all new construction, additions and alterations of both residential and non-residential buildings in St. Helena has special findings for consideration of historic buildings. This allows the City to require CEQA analysis of impacts on historic buildings pursuant to CEQA Guidelines section 15300.2, which states that a categorical exemption shall not be used for a project which may cause a substantial

adverse change in the significance of a historical resource. Special findings must be made to address the demolition of historic structures (section 17.164.050). These findings are:

- o That the building poses a threat to health, safety and general welfare if it is not demolished;
- o That restoration of the building is not feasible or practicable using current building codes, including but not limited to the Historic Building Code provisions of the Uniform Building Code of the State of California; and
- o That no public or other funding is available for financing renovation or purchase of the building.

- In 1999, the City implemented one of the first mandatory seismic retrofit ordinances of unreinforced masonry buildings (URM) within the state (Municipal Code section 15.40). Thirty-two URMs were identified. Seismic retrofit of all 32 buildings has either been completed or is in the construction phase of completion.
- The City of St. Helena Building Department utilizes the State's historic building code to encourage and assist in the preservation and renovation of historic structures.
- St. Helena's neighborhoods have unique characteristics that reflect the evolution of the City over time. Creating neighborhood-specific historic preservation design guidelines can ensure that structural alterations to existing homes reflect the neighborhood's past, while accommodating modern residential needs.

There are more than 200 historically significant resources in St. Helena.



Preserving St. Helena's historic resources will help maintain the City's unique sense of place.

6.4 Goals

The goals of the Historic Resources Element are:

Maintain St. Helena's Sense of Place and Visual Character.
St. Helena is dedicated to ensuring that new development complements existing buildings and supports the City's unique historic, agricultural character and setting.

Preserve and Protect St. Helena's Historic Resources.
St. Helena is committed to preserving and protecting its historic resources and ensuring that they remain for future generations.

Celebrate St. Helena's Distinct History and Heritage.
St. Helena is dedicated to celebrating its rich historic buildings and ensuring that they can be enjoyed by residents and visitors.

CONCEPTS, TRENDS AND IDEAS

Adaptive Reuse

Long Meadow Ranch and the Napa Valley Vintners Building are examples of adaptive reuse in St. Helena.

Adaptive reuse refers to the process of adapting older structures for use in different ways than originally intended. In this way, the existing architectural details and cultural and historic significance of older buildings can be maintained, while the use and function of the building changes to meet current and future needs. Examples of adaptive reuse include rehabilitating unused schools for use as offices or research facilities, and retrofitting former industrial buildings into residential units. Adaptive reuse can bolster planning efforts to reduce the occurrence of sprawl and preserve agricultural lands by focusing new development in already-developed areas of the City.

The Long Meadow Ranch Winery and Farmstead, located at the intersection of Charter Oak and Main streets, is an example of adaptive reuse in St. Helena. Reuse of the property, including the 130-year old gothic revival, two-story home, is currently underway. The project includes a nursery, restaurant, open air produce market and wine tasting room. In addition, the Napa Valley Vintners Association office building is another example of adaptive reuse

Vintage Hall was St. Helena's first high school, dedicated on June 6, 1912. It was renovated in 2003.

6.5 Policies and Implementing Actions

A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. Protected Historic Resources; and
2. Historic Resources Awareness.

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together, they serve as strategic directions for City staff and partners, highlighting where time and resources should be focused.

topic area
1 PROTECTED HISTORIC RESOURCES

Policies

HR1.1 Preserve the City's historic and cultural resources, so that they may contribute to the special character and quality of the City and support its economic base.

HR1.2 Protect the historic resources that exist in the downtown commercial area.

HR1.3 Encourage the adaptive reuse, rehabilitation, and retrofit of historic buildings in which the original use is no longer feasible.

HR1.4 Promote the application of sustainable building practices to the preservation of historic resources.

St. Helena's historic and cultural resources contribute to its special character and quality of life.

topic area
1 PROTECTED HISTORIC RESOURCES

HR1.5 For development and redevelopment proposals in archaeologically and paleontologically sensitive areas of St. Helena or where tribal cultural resources are known to exist, require an assessment of the potential presence of archaeological, paleontological and tribal cultural resources, including a site survey and a records search of the California Historical Resources Information System at the Northwest Information Center (NWIC). As warranted by the results of the assessment, require additional studies to identify and address project-specific impacts on archaeological and paleontological resources. The City shall incorporate the study recommendations as project conditions of approval to ensure that impacts on archaeological and/or paleontological resources are mitigated to the extent possible. Studies shall be prepared according to National Register Bulletin 24: Guidelines for Local Surveys: A Basis for Preservation Planning and the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation.

HR1.6 For development or redevelopment on a site that contains any structures over 45 years old, require a records search of the California Historical Resources Information System at the Northwest Information Center (NWIC) to determine the presence of historic resources. As warranted by the results of the records search, the City shall require evaluation of structures over 45 years old to determine their historical significance. Studies shall be prepared according to National Register Bulletin 24: Guidelines for Local Surveys: A Basis for Preservation Planning and the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation.

topic area
1 PROTECTED HISTORIC RESOURCES

Implementing Actions

HR1.A Adopt a historic preservation ordinance to implement the policies recommended in the Historic Resources Element.

HR1.B Adopt design review guidelines and/or form-based codes, standards and criteria for the alteration or rehabilitation of historic properties. The adoption of design review guidelines and/or form-based codes can assist City staff, the Planning Commission, and City Council when reviewing permit requests and provide long-term regulatory consistency.

HR1.C Adopt design review guidelines and/or form-based codes that require new development in or adjacent to historic areas or buildings to be compatible in design and character with existing historic buildings.

HR1.D Develop an incentive program to encourage property owners to participate in historic preservation efforts. Potential program measures can include alternate building codes for historic structures and financial incentives, where necessary.

HR1.E Consolidate and update the existing inventories of historic buildings and houses and develop criteria to add to the list.

HR1.F Develop sustainable development and green building guidelines for rehabilitation, retrofitting, and adaptive reuse of historic resources. Identify incentives to encourage property owners to utilize these guidelines.

(Also see the Community Design Element, Topic Area 1)

topic area
1 PROTECTED HISTORIC RESOURCES

HR1.G Continue to develop and implement downtown design guidelines and/or standards to protect historic buildings and guide façade changes.

HR1.H Regularly update the Historic Resources Inventory to ensure that is includes a current list of historic structures in the city.

HR1.I Incorporate the preservation of historic resources into a citywide urban design plan.

HR1.J The City shall retain a qualified architectural historian, preservation architect, or preservation planner to assist with development of any neighborhood or citywide design standards, guidelines, or form-based codes that will be implemented in or adjacent to historic areas, e.g., the Downtown Commercial District, or adjacent to historic buildings.

HR1.K Require that rehabilitation or restoration of historical resources be done according to the Secretary of the Interior's Standards for the Treatment of Historic Properties with Guidelines for the Preservation, Rehabilitation, Restoration, Restoration, and Reconstruction of Historic Buildings.

topic area
2 HISTORIC RESOURCES AWARENESS

Policies

HR2.1 Strengthen public awareness of and support for the preservation and protection of the City's historic resources, while improving community access to information about local Native American history.

HR2.2 In cooperation with Native American Research and Historical Preservation Society, improve community access to information about Native American life.

Implementing Actions

HR2.A Expand community awareness about the value of historic preservation in order to build support among property owners and developers for the preservation and adaptive reuse of historic and cultural resources.

HR2.B In cooperation with the St. Helena Historical Society, develop a public education and awareness program to keep the community abreast of historic resource issues through a variety of programs, such as self-guided walking tours, home and garden tours, speakers' series, and other public events. Through this program the Historical Society could work with owners of historic structures to install plaques outside structures to increase public awareness and community pride.

HR2.C Improve community access to information about available historic preservation funding sources and related resources. Provide information about sensitive ways to incorporate sustainable materials and design practices into historic rehabilitation projects.

HR2.D Conduct a survey of historic resources to determine different architectural types in the City and develop design guidelines specific to style and period.

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chapter seven

community design

7 community design

The Community Design Element contains policies and actions that guide the quality and character of St. Helena's built environment.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture and entertainment

7.1 Purpose of the Element

The Community Design Element presents a framework of policies and implementing actions that integrates directly with other General Plan elements in determining the quality and character of St. Helena's built environment. In particular, this Element relates to the Land Use and Growth Management Element by setting forth a vision for the form, character, and appearance of the community. It also correlates directly with the implementation of policies and actions included in the Circulation, Open Space and Conservation, Parks and Recreation, and Historic Resources elements. By respecting established neighborhoods and historic assets, this Element provides guidance to preserve St. Helena's distinct history and rural small-town character, while promoting new approaches to enhance future public and private development.

The Community Design Element includes the following sections.

- **7.2 Rural Community Character in St. Helena**. Identifies rural community character, architectural details and neighborhoods (p. 7-3).
- **7.3 Key Findings**. Identifies key findings based on an existing conditions analysis and extensive community outreach (p. 7-9).
- **7.4 Goals** Defines overarching goals to guide policies and implementing actions (p. 7-13).

- **7.5 Policies and Implementing Actions**. Identifies policies and implementing actions to ensure high-quality, sustainable and community-oriented design and construction and protect community character (p. 7-15).

Downtown's historic character provides a sense of place for the City.

7.2 Rural Community Character in St. Helena

Community character can be defined in a number of ways but is often reflected in the physical form of the built environment and its relationship to the natural environment. A community's street pattern; the relationship of its buildings to streets; the location and design of its public spaces; and the architectural styles and landscape elements that characterize buildings, residences and open spaces are often collectively referred to as "community design."

Community design is a visual representation of the character of a place, which evolves over time based on the lifestyle preferences of its residents and the public and private decisions that shape the human landscape. Community design in St. Helena clearly embodies and celebrates the rural character of the city. It can be best understood by exploring its architectural typologies and details, the identity and character of its many neighborhoods, and its rich agricultural heritage.

AGRICULTURE, OPEN SPACE, PARKS, AND RECREATION

The rural feel and abundant open spaces in and around St. Helena are very important design elements that contribute to the overall character of the community. Parks, greenways, vineyards, and other spaces surround the city and are interspersed throughout its neighborhoods, providing space for recreation and passive activities, natural areas, plazas, flood conveyance, and agriculture. This

Agricultural uses in and around the City contribute to its character.

network of open space provides a distinct connection to the City's agricultural heritage.

Agriculture and viticulture have influenced the nature of the surrounding landscape perhaps more than any other land use or economic activity. As a result, existing expanses of vineyards and agricultural lands — including "fingers" of green that reach into the urban environment — play a central role in maintaining the rural experience and a distinctly historic sense of place for City residents and visitors.

The City's Urban Limit Line is an instrumental policy tool for maintaining clear definition of the rural/urban edge and preserving the City's adjacent open spaces. Green spaces and vineyards within the Urban Limit Line also contribute to the rural environment, ensuring St. Helena's agrarian heritage remains elemental to the character of the City, both inside and surrounding the city. Parks and other open spaces also contribute to this effect.

GATEWAYS, EDGES, AND VIEWS

Gateways, edges, and views throughout St. Helena create a sense of the city's rural character. Public views of the surrounding hillsides, Mount St. Helena,

vineyards, and older agricultural buildings provide valuable visual connections that strengthen the community's identity. Views are especially significant where agriculture is located along street edges.

Similarly, entries into the city provide important gateways that help establish

St. Helena's sense of place. These gateways not only announce entry into the city, but also lend significance to the area. The northern gateway to the city from State Route 29, referred to as the "Tunnel of Elms," is attractive, with large, landmark trees lining the road. Historic winery structures and residences add character to this important city gateway. The southern entry is less pronounced, with service commercial uses, parking, and limited landscaping adjacent to the highway.

St. Helena's residential neighborhoods are often characterized by multiple architectural typologies along a single street.

ARCHITECTURE AND URBAN DESIGN

The concentration of well-preserved buildings in downtown St. Helena is important in establishing the City's historic character. Many of the historic masonry and wooden structures built from stone, brick, and timber and located along Main Street between Spring and Adams streets, were constructed during the city's second major period of growth in the late 19th and early 20th centuries. European settlement of the Napa Valley during this period was fueled by the arrival of Italian and Swiss immigrants, many of whom were trained stonemasons and quarrymen. These early settlers skillfully carved Napa County's colorful volcanic rocks and used local timber to build barns, houses, fences and bridges. The architectural details of these structures, such as brick dentils, medallion insets, and window fenestration, lend character to the community just as do the materials from which they were constructed.

The character of St. Helena's residential neighborhoods is defined by a range of Pre-Prohibition-era housing styles. Multiple architectural typologies can be found along a single street, which contributes to neighborhood character. Common residential architectural typologies include American Queen Anne, American Craftsman, California Bungalow, and vernacular farm houses. Later

styles found in St. Helena include ranch-style homes and a variety of neo-eclectic architectural styles based on a combination of traditional shapes and details from different periods. Overlapping themes among both historic and modern homes include large, open-air porches supported by various interpretations of the basic column, and deeply overhanging eaves supported by exposed rafters or ornamental brackets.

Similar to many western cities, St. Helena's historic street pattern and layout is characterized by a traditional grid pattern, with variances that result from the intersection of railroad lines, creeks and regional roadways. As St. Helena grew during the latter part of the 20th Century, a modified street pattern developed with wide curvilinear streets, cul-de-sacs, and fewer bicycle and pedestrian connections. Future development presents an opportunity to enhance street, bicycle, and pedestrian connectivity, in part by using the city's historic grid street pattern.

RESIDENTIAL NEIGHBORHOODS

The community is composed of twenty-four residential neighborhoods surrounding St. Helena's historic downtown, as mapped by the General Plan Update Steering Committee (GPUSC) and shown on Figure 7.1. Each of these neighborhoods are distinct in identity, characterized by design elements such as their street patterns, architectural typologies, landscaping, and other attributes that support St. Helena's sense of place.

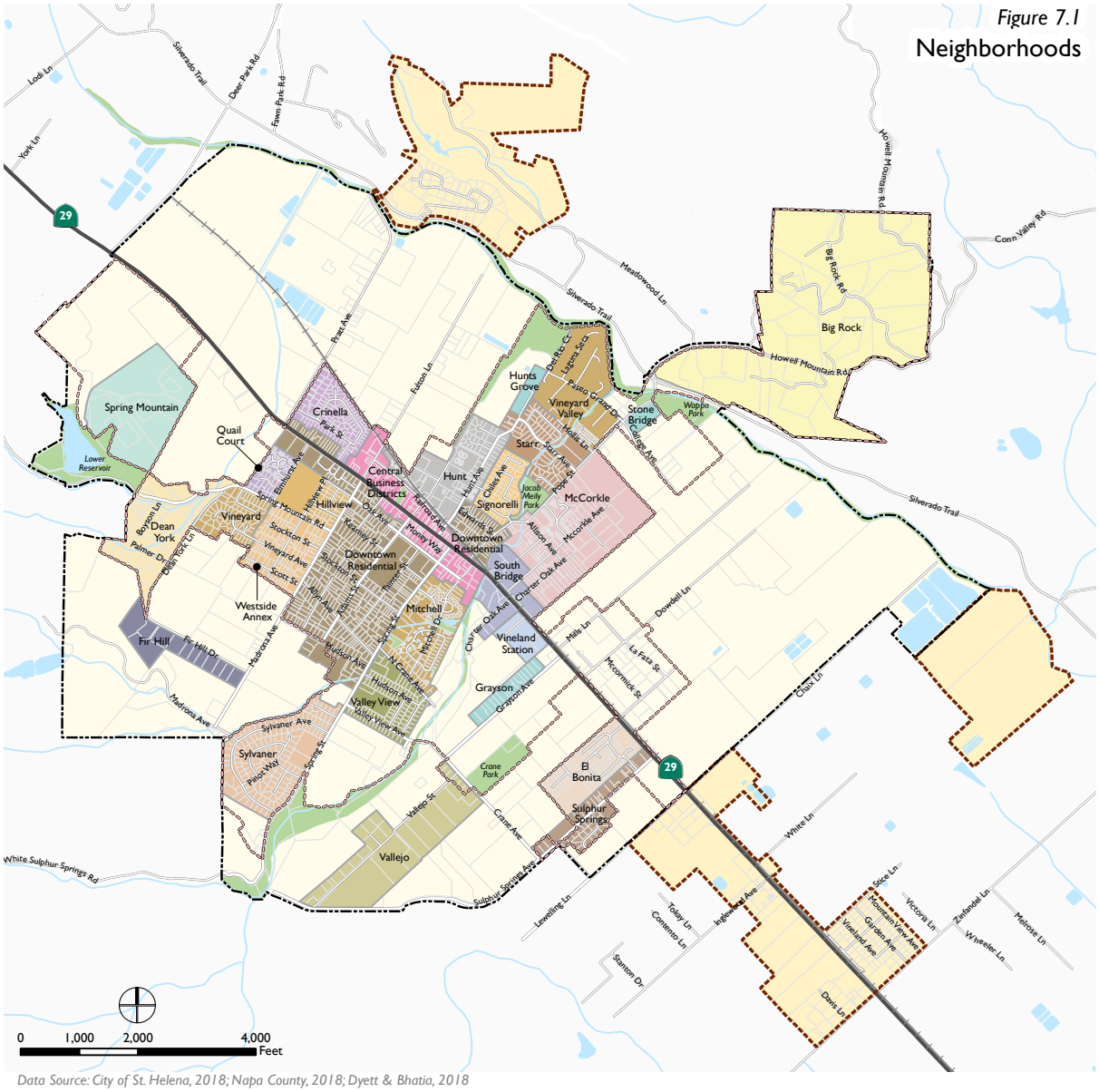
St. Helena's residential neighborhoods include single family units on large, rural lots; single family units on typical neighborhood lots; and attached medium-density units, including townhouses, condominiums, and apartments. Various residential architectural styles can be found throughout the city neighborhoods that include favorable design components, such as front porches, abundant landscaping, and façade articulation. Streets within residential neighborhoods are generally tree-lined, equipped with sidewalks, and narrow enough to be comfortable for pedestrians and bicycles. However, some streets, such as Starr Avenue, would benefit from a median, planting berm, dedicated bike paths,

Residential neighborhoods possess unique identities and different types of architecture dating from various decades.

or other traffic calming strategies. Decorative fences are often used to establish the boundary between public and private spaces at the street level. These fences, more common in older neighborhoods, also create visual interest for pedestrians. Landscaping in the city's residential neighborhoods is also colorful and highly textured, which helps to further enhance the pedestrian experience.

Street patterns, an important component of the urban form that influence not only circulation and community access but also community layout and character, vary between neighborhoods in St. Helena. Neighborhood streets such as those in the Hillview and Westside Annex neighborhoods exhibit a traditional grid pattern, while the Big Rock, Fir Hill, and Vallejo neighborhoods have rural and semi-rural street patterns.

Figure 7.1
Neighborhoods



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

- Neighborhoods
- Urban Limit Line
- Study Areas
- City of St. Helena
- Railroads
- Parks and Open Space
- Water Features

COMMERCIAL AND INDUSTRIAL AREAS

Commercial and industrial areas are located along Main Street and adjacent streets. The Central Business District (CBD), centered on Main Street, serves as the city's downtown and provides a variety of uses for residents and visitors. The CBD is characterized by historic buildings, an active pedestrian environment, street trees, and other key defining streetscape elements, such as historic streetlights and special sidewalk treatments. Other commercial and industrial areas are located along Adams Street, Main Street south of Sulphur Creek, and the areas surrounding Dowdell Lane and Vintage Avenue. In these service areas commercial, office, and industrial land uses are less intense and often include on-site parking. Streets are typically two-lane and have minimal streetscape amenities.

Commercial and industrial buildings should be distinct with varying roof lines and articulated facades.

7.3 Key Findings

There are several challenges and opportunities facing St. Helena related to community design. The following key findings are based upon comprehensive existing conditions analysis and community input.

- St. Helena's built environment is characterized by a compact and historic downtown, tree-lined neighborhoods, breathtaking agricultural landscapes, and a distinctive, early 20th century small-town character. By effectively guiding the built form of any potential new construction, the City can ensure that St. Helena preserves its unique qualities.
- St. Helena incorporates approximately 3,000 acres of land, of which 1,500 acres are located within the boundaries of the Urban Limit Line (ULL). The ULL helps define the city's character by focusing evolution and change in the central core. Careful, context-sensitive development of areas within the ULL can help the city retain its historic and agricultural character while accommodating well thought out growth in coming decades in order to protect the agricultural uses and rural quality of both the city and surrounding areas.

- St. Helena's historic downtown is cherished by residents and draws visitors from around the world. The city's Main Street features a variety of shopping and dining venues. Encouraging new commercial and mixed-use projects that complement the area's existing sense of place can enhance Main Street's character while creating uses to serve residents, visitors and businesses.
- St. Helena boasts a number of well-preserved older buildings along Main Street that help communicate the city's character to those entering or passing through town, particularly from the north. Key landmark buildings include the Starr, Galleron, Ritchie, Oddfellows, and Pritchard buildings. Preserving these structures and ensuring that new development complements their landmark status can help St. Helena maintain its unique character.
- Design Review is an important tool the City can use to continue to promote, ensure, and encourage new homes or remodels that reflect the scale, proportion, and/or building materials that characterize the surrounding neighborhood. Following design guidelines and/or form-based codes for remodels and new construction can ensure that remodeled or new residences complement existing neighborhoods and contribute positively to St. Helena's sense of place.
- Residential neighborhoods throughout the city possess unique identities and include types of architecture dating from various decades of the 20th Century and present day. Establishing a flexible set of design guidelines and/or form-based codes for specific areas can ensure that new development and remodels complement the distinct character of St. Helena's existing neighborhoods, while allowing for design innovation to accommodate modern needs and tastes.
- St. Helena's local character is strongly rooted in its agricultural heritage and location in the world-famous Napa Valley winemaking region. By highlighting the importance of key viewsheds and agricultural lands to the community's overall design, the City can maintain a strong visual connection to the essential role of agriculture in St. Helena's past and future.

CONCEPTS, TRENDS AND IDEAS

Adams Street Property Visioning Project

TOP *The site plan for the Adams Street Property includes key community objectives identified during the vision and land use alternatives processes.*

BOTTOM *The Adams Street property was identified as a good location for a farmer's market.*

In conjunction with the City of St. Helena's General Plan Update planning process, the City initiated the Adams Street Property Visioning project in October of 2008. The process included several stakeholder interview sessions, consultation with the General Plan Update Steering Committee, and two community workshops. The Adams Street property is a catalytic site with the potential to meet a range of the community's needs, including open space, housing and retail.

Building on the community vision and informed by economic feasibility analysis, the Adams Street Property Visioning exercise provided overall vision and specific design direction, establishing a framework for guiding future public and private developments on the site, as well as public improvements, such as community open spaces and streetscape enhancements.

Design characteristics outlined in the project exemplify many of the Community Design Element's policies and implementing actions, including new community gathering spaces, preserving important views, green buildings and infrastructure, and an emphasis on bicycle and pedestrian connections.

Detailed site master planning will occur when a specific development proposal comes forth for the Adams Street property.

7 community design

St. Helena's downtown demonstrates its historic character and unique sense of place.

- High-quality and sustainable design is an important component of the overall community design for St. Helena. Incorporating sustainable design practices into site layout, building design, landscaping, and public infrastructure is key to supporting projects that use less energy and water and have a smaller environmental impact. In addition, high-quality design contributes significantly to overall community design. Supporting sound construction practices and the use of high-quality materials will ensure long-lasting, well-built structures.
- St. Helena's Main Street is State Route 29, a major north-south thoroughfare that runs through the Napa Valley. Residents consistently cite heavy traffic as one of the most pressing concerns facing the City and highlight a need to ensure that community design efforts reduce auto-related travel in favor of alternate transportation modes. Creating a community design framework that enhances St. Helena's human scale can ensure that the city remains a comfortable, safe, and convenient environment for pedestrians, bicyclists and transit riders.

7.4 Goals

The goals of the Community Design Element are:

Respect St. Helena's Historic Character and Unique Sense of Place.
St. Helena is committed to enhancing and maintaining its existing community and agricultural character.

Promote a High-Quality and Sustainable Built Environment and Public Realm.
St. Helena is dedicated to maintaining an urban design framework that strengthens the physical form of the City by establishing a high standard of quality, context-sensitivity and ecological sustainability for the design, planning and construction of new and renovated structures, gateways, streets, public infrastructure, and public spaces.

Encourage Community Design throughout the City that Helps to Build Community.

Encourage Human Interaction and Support Non-Automobile Transportation.
St. Helena is committed to promoting community design that is human-scaled, comfortable, safe, and convenient for pedestrian, bicyclist, and transit use.

Strengthen the City's Neighborhoods to Retain Desirable Characteristics While Allowing for Smart Change and Evolution.

St. Helena recognizes the unique characteristics of individual neighborhoods and the potential for appropriate change within the context of a well-planned city. The City is committed to solving specific neighborhood problems and implementing neighborhood priorities to value enhance livability.

Green building and landscaping, such as green roofs and green stormwater infrastructure, should be incorporated into new development.

7.5 Policies and Implementing Actions

A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. High-Quality and Sustainable Design;
2. Commercial and Industrial Areas;
3. Residential Neighborhoods;
4. Open Space;
5. Gateways, Edges, and Views; and
6. Street Pattern and Layout.

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together, they serve as strategic directions for City staff and partners, highlighting where time and resources should be focused. As the city changes and evolves, the following policies and actions will help guide new public infrastructure and private development in achieving sustainable, high-quality design.

Buildings should utilize native landscaping, passive heating and cooling, and green roofs.

topic area
1 HIGH-QUALITY AND SUSTAINABLE DESIGN

Policies

CD1.1 Ensure high-quality design and construction through a robust design review process.

CD1.2 Ensure the construction of sustainable buildings and landscaping in all public and private development projects.

CD1.3 Require construction and development practices that reduce energy demand through conservation and efficiency, such as the use of green building materials, site design to maximize passive heating and cooling and energy generation, on-site water reuse, water efficient landscaping, and use of low-flow appliances, among others.

(Also see the Climate Change Element, Topic Area 2)

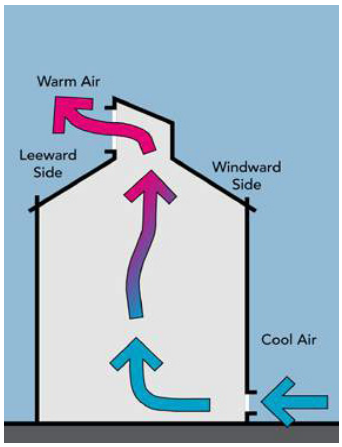
CD1.4 Strengthen water conservation measures for development or construction that result in significant reductions in local water use and the protection of local water resources.

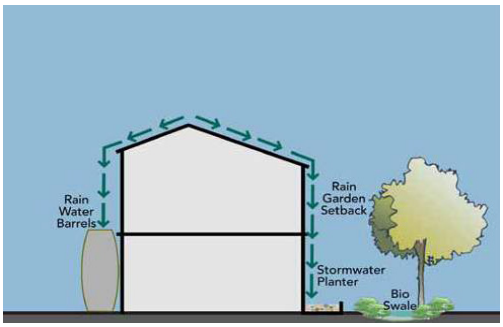
CD1.5 Require stormwater management techniques that minimize surface water runoff in public and private developments. Utilize low impact development techniques such as bioswales and other best management practices to manage stormwater.

(Also see the Open Space and Conservation Element, Topic Area 3)

CD1.6 Encourage the adaptive reuse, rehabilitation, and retrofitting of historic buildings in which the original use is no longer feasible.

(Also see the Historic Resources Element, Topic Area 1)





Buildings should strengthen conservation measures and maximize passive heating and cooling.

CD1.7 Promote the application of sustainable building practices to the preservation of historic resources.

(Also see the Historic Resources Element, Topic Area 1)

CD1.8 Require, to the extent feasible, that all new development include underground utilities to minimize their negative visual impact. In addition, funding sources to underground electrical lines shall be sought so the undergrounding of existing overheard lines can occur over time.

Implementing Actions

CD1.A Continue to implement the existing design review process for new development and remodels throughout the city. Create additional tools, including design guidelines and/or form-based codes, to inform decision-making and ensure high-quality, sustainable design that is compatible with and enhances community character. Consider formation of historic design review committee and/or policies.

CD1.B Adopt a Green Building and Landscaping Ordinance that establishes green building and landscaping site design standards customized to meet the unique climatic context of the community. Landscaping standards should limit impervious paving and identify standards and incentives that encourage the use of locally-propagated native, low-water, drought-tolerant planting, and integrated pest management practices.

CD1.C Partner with third party agencies, such as PG&E, to encourage the inclusion of energy-efficient systems in remodels and retrofits of existing buildings and residences.

CD1.D Consider offering incentives for improving energy-efficiency in existing buildings.

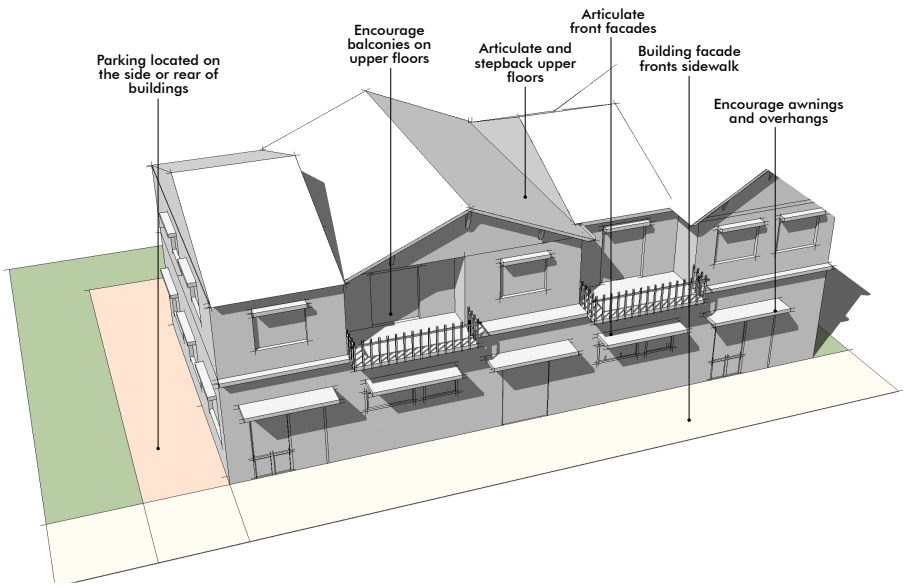
topic area
2 COMMERCIAL AND INDUSTRIAL AREAS

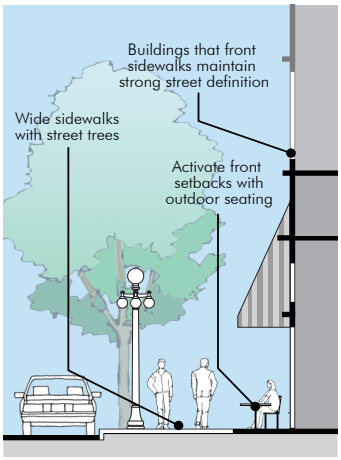
Policies

CD2.1 Maintain the character and identity of the downtown by emphasizing strong street definition, creating active front setbacks with outdoor seating, locating parking on the side and behind buildings, and maximizing entrances and transparency on building façades.

CD2.2 Within industrial and commercial areas outside downtown, maintain transitional zones as needed to protect public health and safety but allow flexible front setbacks while encouraging transparent and accessible front façades and parking on the sides and backs of buildings.

CD2.3 Encourage distinction within and between buildings by varying roof lines and articulating building facades.



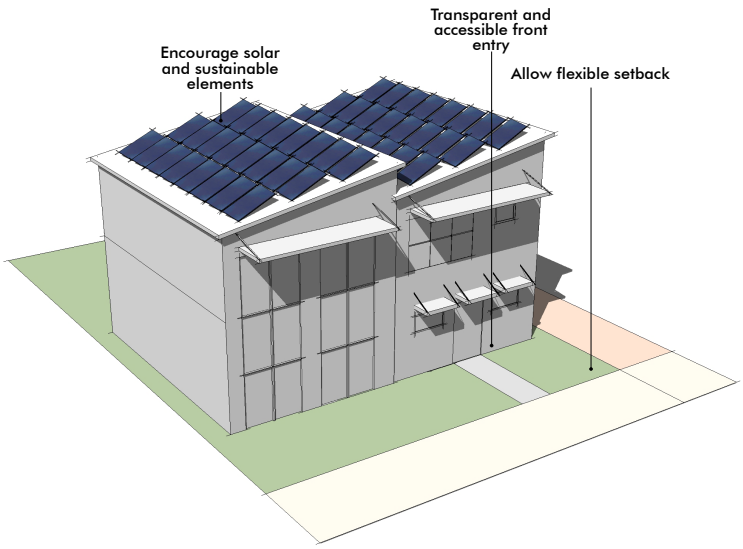


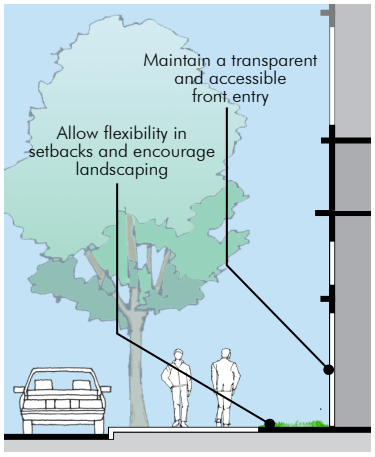
Central Business and Mixed-Use districts should emphasize strong street definition and active front setbacks with outdoor seating .

topic area
2 COMMERCIAL AND INDUSTRIAL AREAS

CD2.4 Ensure active and complete streets within commercial districts by providing sidewalk amenities, such as landscape buffers, berms, street trees, street furniture, outdoor dining, public art, signage, and wayfinding.

CD2.5 Encourage property owners to improve façades and landscaping surrounding existing buildings through the implementation of beautification programs.





Industrial uses should allow flexible front setbacks while encouraging transparent and accessible front façades.

topic area
2 COMMERCIAL AND INDUSTRIAL AREAS

Implementing Actions

CD2.A Develop and implement design guidelines and/or form-based codes, to provide oversight and guidance for new buildings and renovations.

(Also see the following elements: Land Use and Growth Management, Topic Area 3; and Economic Sustainability, Topic Area 3)

CD2.B Require street tree plantings along the commercial streets east of Main Street to reflect Main Street's existing planting pattern, in order to provide visual continuity and to create a pleasant pedestrian environment.

CD2.C Install attractive and well-designed community amenities such as public restrooms, drinking fountains, benches, bicycle racks, and trash and recycling containers in commercial districts. Ensure that community amenities are designed and installed to complement surrounding businesses and support the pedestrian-orientation of the street.

CD2.D Require businesses and structures to be of a scale commensurate with existing older buildings in the CB and SC land use areas.

CD2.E Adopt and implement façade and landscape beautification programs to provide assistance to owners of existing commercial and industrial properties.

CD2.F Explore the need for additional programs, such as commercial façade improvement programs and traffic calming incentive programs.

(See also the Circulation Element for policies and implementing actions related to traffic calming).

topic area
3 RESIDENTIAL NEIGHBORHOODS

Policies

CD3.1 Limit building envelope sizes and require adequate side and rear setbacks to preserve the character of existing residential areas and to avoid overbuilt lots. Require future development to conform to the pattern and density of the neighboring areas. In order to complement existing town character and protect against incursion into vineyard agricultural areas.

CD3.2 Ensure that new residential designs contribute positively to existing neighborhoods by complementing character and incorporating design features, such as front porches, façade articulation and stepbacks.

New development and remodeling should conform to the pattern and character of neighboring homes.

CD3.3 Encourage the use of landscaping and tree plantings as buffers between sidewalks and residential uses. Discourage the removal of existing trees and adopt more comprehensive tree preservation standards.

(See also the Open Space and Conservation Element for policies and implementing actions related to tree preservation).

CD3.4 Ensure safe bicycle and pedestrian-friendly character on all residential streets. Consider retrofitting existing wide residential streets, such as Starr Avenue, with landscaped medians, wide sidewalks, and adjacent Class I pedestrian and bicycle trails.

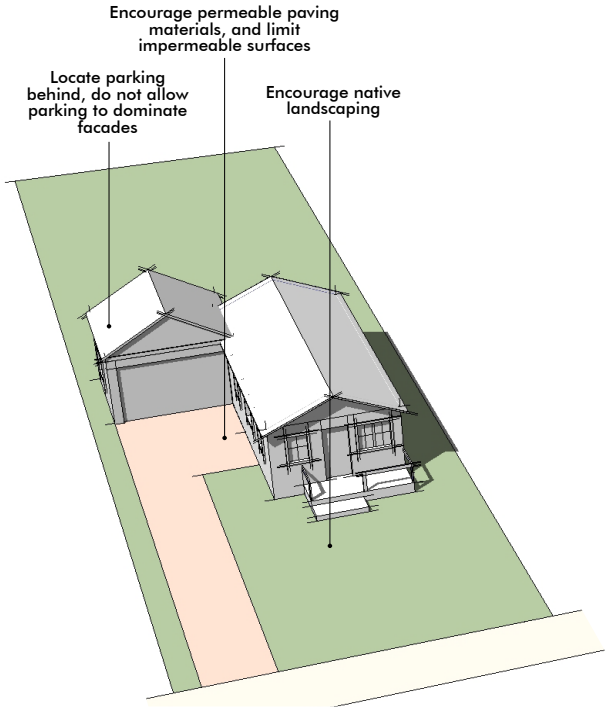
topic area
3 RESIDENTIAL NEIGHBORHOODS

Implementing Actions

CD3.A Develop and implement residential design guidelines and/or form-based codes, to provide oversight and guidance for new buildings and renovations.

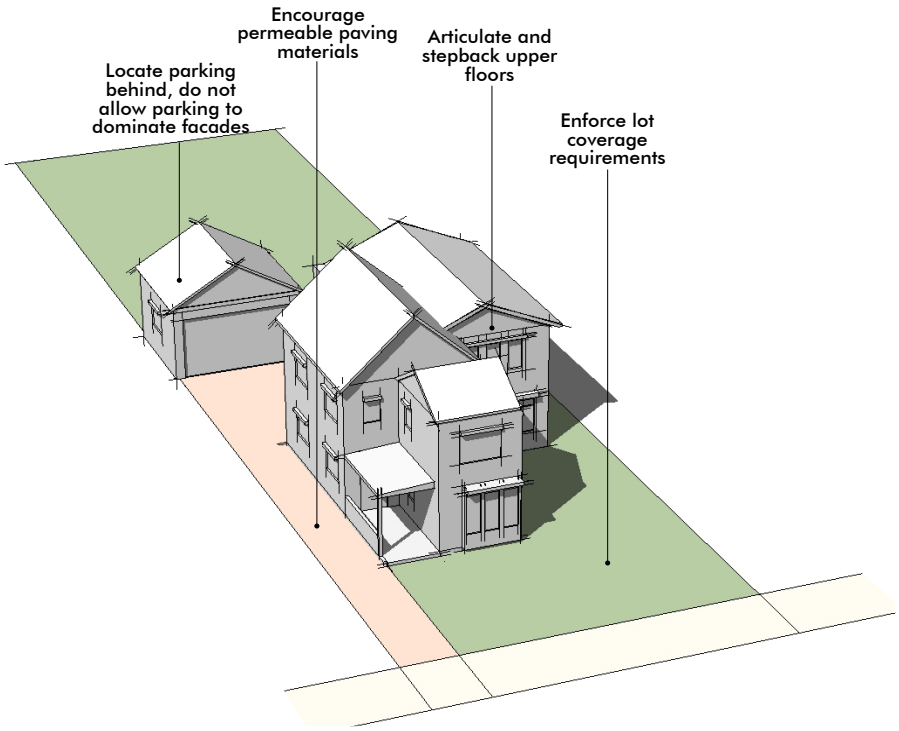
(Also see the Land Use and Growth Management Element, Topic Area 2)

CD3.B Review the existing ordinance language limiting lot coverage/floor area ratio according to parcel size in residential areas in order to preserve neighborhood character, reduce adverse view and shade impacts on existing homes, improve groundwater infiltration, and avoid overbuilt conditions. At the same time, care needs to be taken that any ordinance revision does not impair the ability to build second units on existing lots where appropriate.

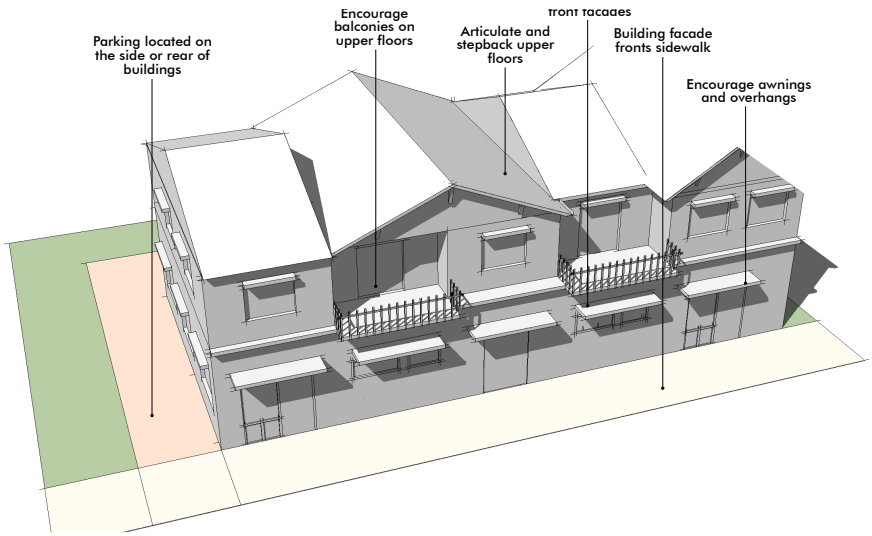


Low density residential.

topic area
3 RESIDENTIAL NEIGHBORHOODS



Medium density residential.



Higher density residential.

topic area
3 RESIDENTIAL NEIGHBORHOODS

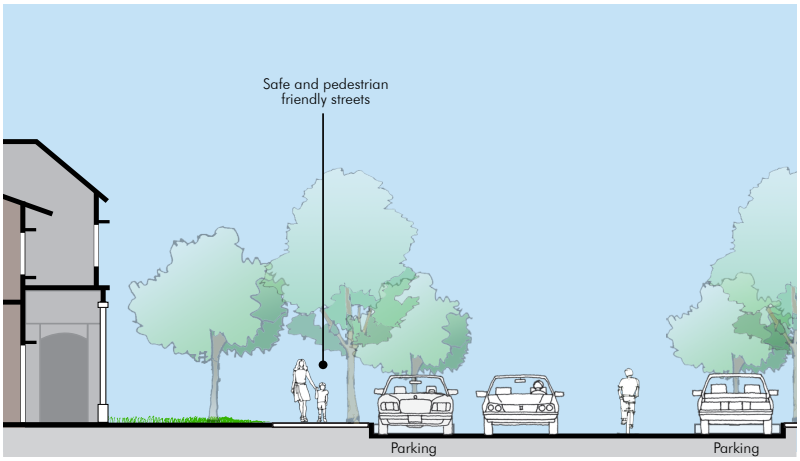
CD3.C Encourage the design and location of parking to minimize its appearance on front façades, locating it to the side or rear of the building, where feasible.

CD3.D Encourage property owners to install landscaping and tree plantings in front setbacks as a buffer between the sidewalk and residential uses.

CD3.E Require new development to include landscaping and street trees.

CD3.F Establish residential street guidelines that ensure a safe environment for families and children. Encourage traffic calming, street trees, wide sidewalks, and Class I or II bike lanes.

CD3.G Explore a reduction in parking requirements for residential uses that implement transportation demand management strategies, consistent with the parking management strategy articulated in the Circulation Element.



Encourage landscaping and street trees to create bicycle and pedestrian-friendly streets.

topic area
4 OPEN SPACE

Policies

CD4.1 Encourage the development of public spaces for formal and informal gatherings, such as plazas, seating and small performance areas.

CD4.2 Integrate open space, including parks, community gardens, natural areas, and agriculture into the community to strengthen the connection to St. Helena's agricultural heritage and provide a sense of openness.

CD4.3 Support agricultural and low-intensity uses beyond the Urban Limit Line.

(Also see the Land Use and Growth Management Element, Topic Area 1)

CD4.4 Integrate bicycle and pedestrian trails adjacent to open spaces to enhance connectivity throughout the city and the region.

(Also see the Parks and Recreation Element, Topic Area 6)

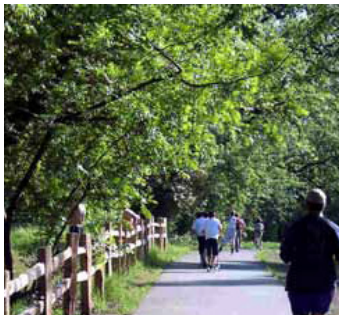
Plazas and community gardens are both examples of open space.

topic area
4 OPEN SPACE

Implementing Actions

CD4.A Require private development to incorporate appropriate public open space into site designs.

(See also the Parks and Recreation and Open Space and Conservation elements provide additional goals, policies and actions related to open space).



Bicycle and pedestrian trails can be located adjacent to open spaces.

topic area
5 GATEWAYS, EDGES AND VIEWS

Policies

CD5.1 Preserve the visual and physical connection to agriculture by protecting views from streets, parks, and open spaces to vineyards, agriculture, and hillsides. Where new streets are extended adjacent to agriculture, encourage hillside, and vineyard views by maintaining agricultural activities at the road edge. Existing east and west entries should be maintained in their current appearance, protecting and improving views of vineyards and the surrounding hillsides wherever possible.

CD5.2 Use public streets or pathways to form the edge of developed areas, allowing views of open space from streets.

CD5.3 Ensure that key gateways into the City receive special, character-defining treatments and landscaping. Consider establishing landmark trees along the roads that serve as gateways to the City. New commercial development on Main Street south of the Sulphur Creek bridge should be carefully designed to provide an appropriate gateway in to the downtown area

CD5.4 Preserve and enhance the City's nighttime environment and quiet rural sounds of the night for residents and wildlife by limiting the negative effects of artificial lighting.

Visual and physical connections to agriculture and open space provide views and act as edges.

topic area
5 GATEWAYS, EDGES AND VIEWS

Implementing Actions

CD5.A Working with CALTRANS, design and install a landscaping treatment for the northbound (State Route 29 from Chaix Lane north to Sulphur Creek) and westbound (from Silverado Trail west along Pope, and any future roadway segment from the Trail to downtown) gateways into the city. Consider a tunnel of trees similar to those located at the northern gateway.

CD5.B Adopt a dark sky ordinance to preserve the City's rural character by limiting the negative effects of light pollution on wildlife and community aesthetics. Develop lighting design guidelines for new development that mitigate light pollution while ensuring adequate nighttime security.

CD5.C New development shall not result in significant light, glare, and noise that could affect residents, visitors, and wildlife. Lighting shall be shielded to reduce glare and shall be cast downwards. Outdoor lighting shall occur primarily for the purpose of security and safety. Upcast lighting shall be discouraged to minimize impacts on wildlife and to retain the agricultural ambience of St. Helena. All lighting shall conform to the Lighting Zone 2 requirements of Title 24 of the California Building Code.

CD5.D The City shall encourage the undergrounding of any new electrical lines required to serve new development. In addition, funding sources to underground existing electrical lines shall be sought so that undergrounding of existing overhead electrical lines can occur over time.

CD5.E The City shall investigate the possibility of designating all or a portion of State Route 29 that passes through the City of St. Helena as a scenic highway under the State's scenic highway program.

A tunnel of trees provides a verdant gateway into the City.

topic area
6 STREET PATTERN AND LAYOUT

Policies

CD6.1 Ensure a connected circulation system that maximizes pedestrian and bicycle connectivity.

CD6.2 Promote the inclusion of bicycle and pedestrian trails and bicycle lanes throughout the City, as well as connections to regional trail systems, such as the Napa Valley Vine Trail.

(Also see the Parks and Recreation and Circulation elements for additional policies and implementing actions relating to bicycle and pedestrian trails and amenities.)

CD6.3 Require streetscape design that maximizes bicycle and pedestrian usage by providing safe and appropriately lit streets.

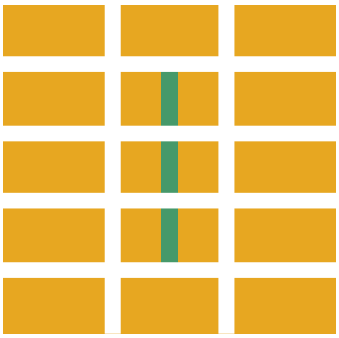
Streetscape design that promotes safety and connectivity for bicyclists and pedestrians.

topic area
6 STREET PATTERN AND LAYOUT

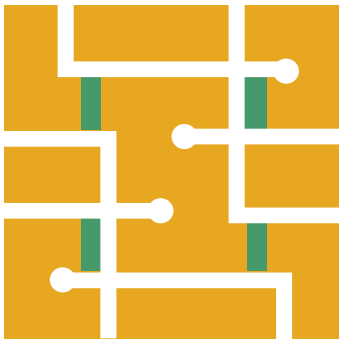
Implementing Actions

CD6.A Facilitate the safe and efficient flow of pedestrian, bicycle and vehicular traffic. Enhance and frame views of the hills and surrounding agricultural lands; and incorporate appropriate traffic calming features to support and complement the neighborhood environment.

(See also the Circulation Element for goals, policies and actions related to street connectivity).



Acceptable: Traditional connected street pattern.



Acceptable: Connected bicycle and pedestrian street pattern.

Not Preferred: Disconnected street pattern.

chapter eight

open space and conservation

8 open space and conservation

Open Space is a critical component of St. Helena's character.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture and entertainment

8.1 Purpose of the Element

The Open Space and Conservation Element presents a framework for governing future decisions about how St. Helena will sustain open space and natural resources for today's residents, as well as future generations. It aims to protect, maintain, and enhance St. Helena's natural resources and open spaces, while balancing community needs with conservation to benefit the common good.

The Open Space and Conservation Element includes the following sections.

- **8.2 Open Space and Natural Resources in St. Helena**. Identifies key open space and conservation areas and resources in St. Helena (p. 8-3).
- **8.3 Key Findings**. Identify key findings based on an existing conditions analysis and extensive community outreach (p. 8-16).
- **8.4 Goals**. Defines overarching goals to guide policies and implementing actions (p. 8-20).
- **8.5 Policies and Implementing Actions**. Identifies policies and implementing actions to protect the City's natural areas and resources and expand and maintain a comprehensive open space and parks system (p. 8-21).

As a complement to the City's Open Space and Conservation Element, the Parks and Recreation Element includes detailed descriptions of existing parks and recreational facilities, as well as policies and implementing actions related to their programming and improvement.

The Sulphur Creek corridor is a primary open space resource for St. Helena.

8.2 Open Space and Natural Resources in St. Helena

St. Helena enjoys a rural setting that includes a wealth of natural resources, providing the foundation for an open space system that can fulfill multiple functions, supporting the community's health, safety, recreation, and natural environment.. Within its city limits, there is a mix of agricultural uses, urban development, and wooded hillsides along with a diverse array of vegetation communities, including aquatic, grassland, chaparral, oak woodland, riparian woodland, coniferous forest, agricultural croplands, and developed lands (Figure 8.1). The most significant stands of native vegetation, in terms of size and variety, occur on the heavily forested hillsides on the east and west sides of town. Some of the most important wildlife resources within the city are found along the Napa River and its two tributaries, York Creek and Sulphur Creek. Although agricultural and urban development have encroached on these riparian corridors as St. Helena has grown, the corridors still provide habitat for stands of large trees and a variety of plant, animal, and aquatic species.

TABLE 8.1: Biotic Communities and Associated Land Cover Types

Land Cover Type	Natural Communities	Acres
Annual Grass	California Annual Grasslands Alliance	51.78
	Upland Annual Grasslands & Forbs Formation	
Blue Oak Woodland*	Blue Oak Alliance	69.74
Blue Oak-Foothill Pine*	Foothill Pine Alliance	3.13
Chamise-Redshank Chaparral*	Chamise Alliance	5.29
Coastal Oak Woodland*	California Bay-Madrone-Coast LIve Oak - (Black Oak Big - Leaf Maple) NFD Super Alliance	78.07
	Coast Live Oak Alliance	
Douglas-Fir	Douglas-fir Alliance	127.63
Eucalyptus	Eucalyptus Alliance	5.95
Lacustrine	Water	53.88
Mixed Chaparral	Leather Oak - California Bay - Rhamnus spp. Mesic Serpentine NFD Alliance	2.18
	Leather Oak - White Leaf Manzanita - Chamise Xeric Serpentine NFD Super Alliance	
Montane Hardwood*	Coast Live Oak - Blue Oak - (Foothill Pine) NFD Association	176.98
	Mixed Oak Alliance	

TABLE 8.1: Biotic Communities and Associated Land Cover Types (continued)

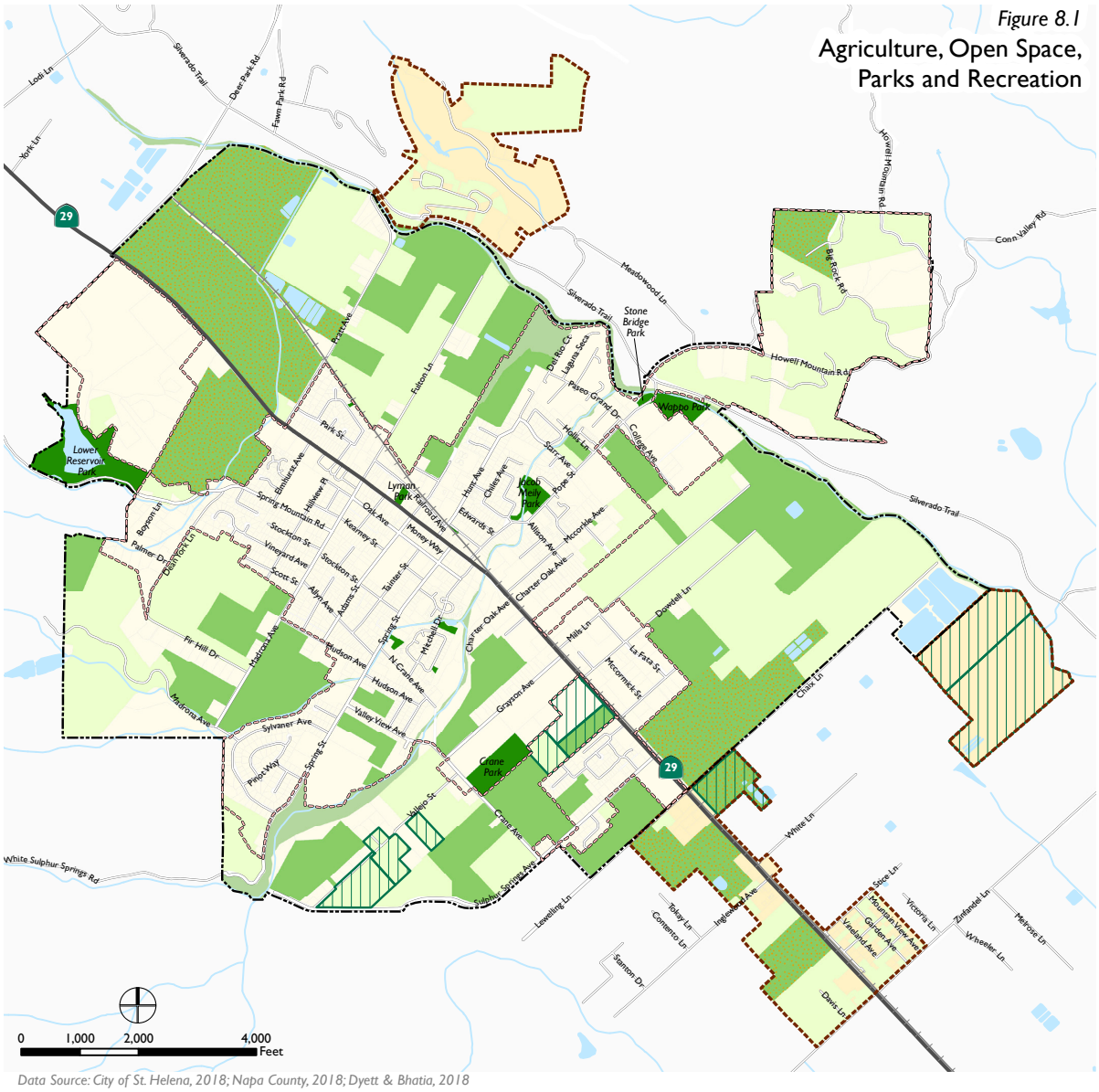
Land Cover Type	Natural Communities	Acres
Montane Riparian*	Mixed Willow Super Alliance	124.03
	Valley Oak - (CA Bay - Coast Live Oak - Walnut - Ash) Riparian Forest NFD Association	
	White Alder (Mixed Willow - CA Bay - Big Leaf Maple) Riparian Forest NFD Association	
Orchard-Vineyard	Agriculture	1315.19
Urban	Agriculture	1116.81
	Urban or Built-up	
	Vacant	
Valley Oak Woodland*	Valley Oak Alliance	5.19
Other	Non-native Woodland	8.40
Total		**3,144.25**

*Notes: *denotes sensitive natural community*
Sources: Napa County 2005, EDAW 2007.

St. Helena's diverse natural communities host a number of sensitive ecological and biological resources, including numerous special-status species, defined as plants and animals that are legally protected under the federal Endangered Species Act (ESA), California Endangered Species Act (CESA), or other regulations, and species that are considered sufficiently rare by the scientific community to qualify for such listing. In total, there are seven special status plant species and seven special-status animal species known or assumed to be present within a 1-mile radius of St. Helena. Additionally, York Creek, Sulphur Creek, and the Napa River provide critical habitat for steelhead. Figure 8.2 shows critical habitat and special status plant and animal species occurring within a 1-mile radius of St. Helena. Table 8.2 lists critical habitat and special status plant and animal species occurring within a 1-mile radius of St. Helena, showing federal and State listing status.

8 open space and conservation

Figure 8.1
Agriculture, Open Space, Parks and Recreation

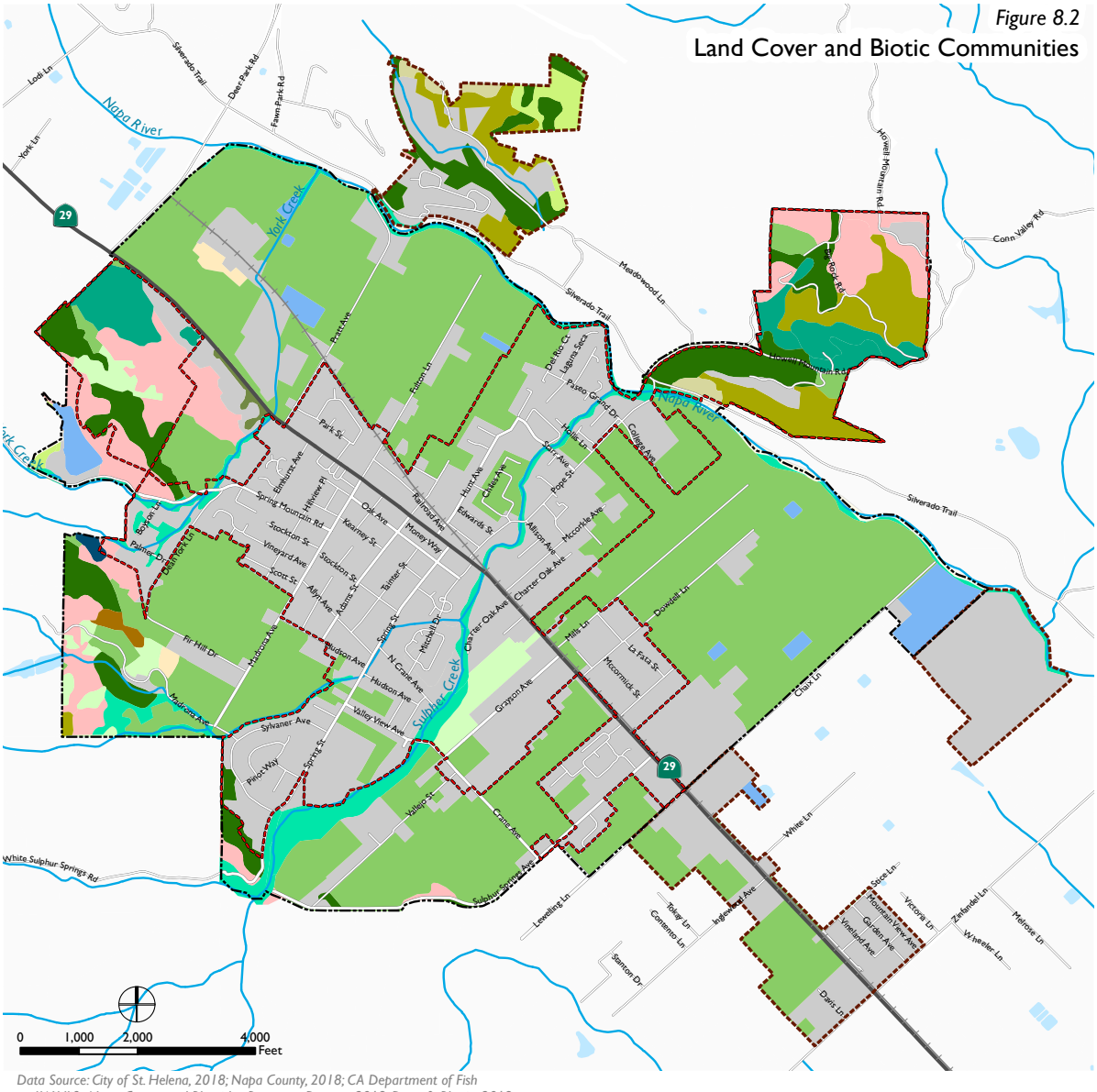


Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

- Parks and Recreation
- Open Space
- Existing Ag/Rural Residential
- Existing Agriculture
- Existing Winery
- Williamson Act Parcels
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

Figure 8.2

Land Cover and Biotic Communities

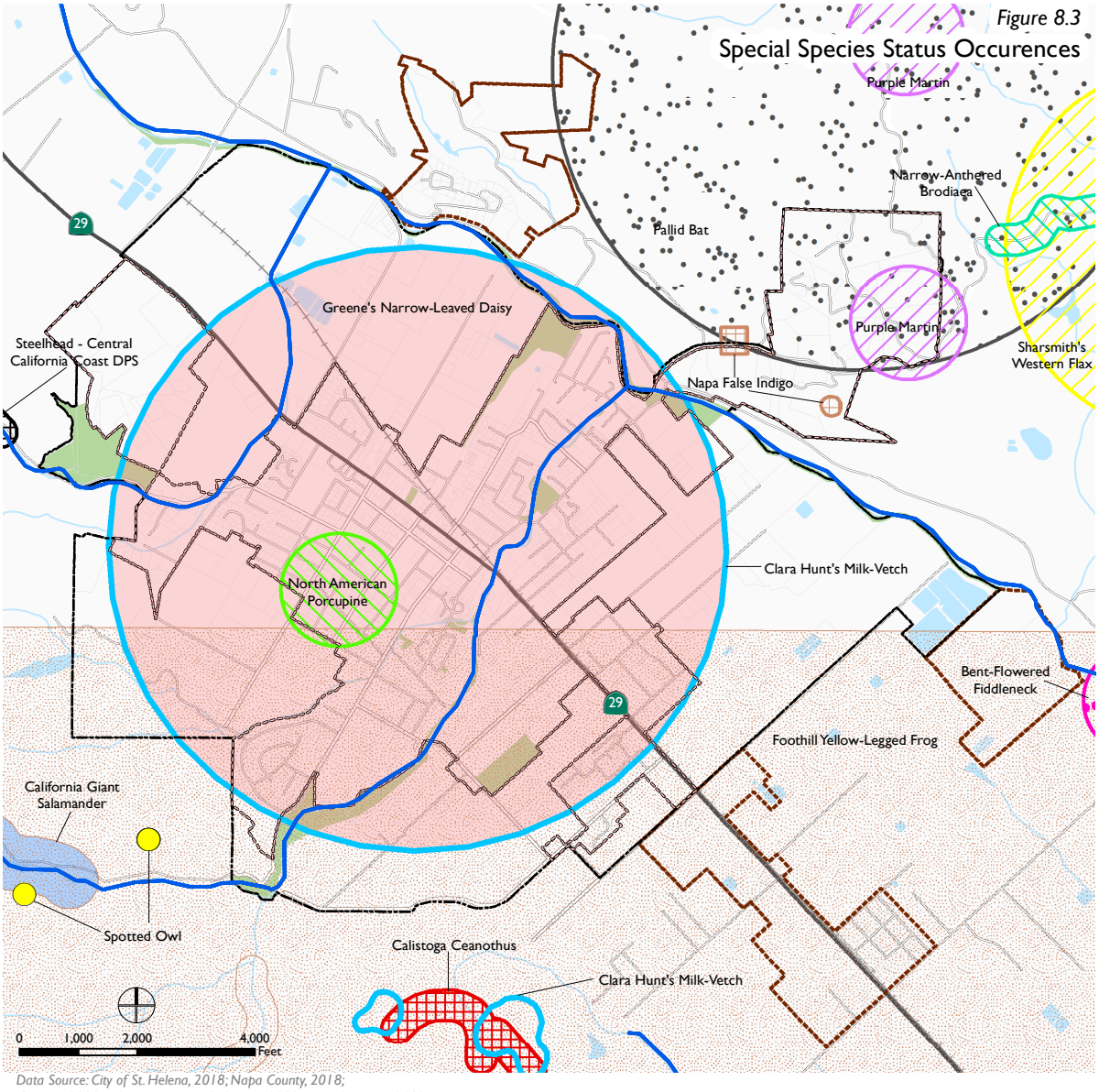


Data Source: City of St. Helena, 2018; Napa County, 2018; CA Department of Fish and Wildlife, Napa County and Blueridge Berryessa Dataset, 2018; Dyett & Bhatia, 2018

- Annual Grass
- Mixed Chaparral
- Chamise-Redshank Chaparral
- Orchard-Vineyard
- Blue Oak Woodland
- Coastal Oak Woodland
- Valley Oak Woodland
- Eucalyptus
- Montane Hardwood
- Blue Oak-Foothill Pine
- Douglas-Fir
- Urban
- Lacustrine
- Montane Riparian
- Unknown
- Railroad
- River/Creeks
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

Figure 8.3

Special Species Status Occurences



Data Source: City of St. Helena, 2018; Napa County, 2018; CNDDB, 2018; U.S. Fish and Widlife Service, 2018; Dyett & Bhatia, 2018

Disclaimer: Information presented in this map is based on data from CNDDB verson 03/2018. Areas of occurence on this map represent areas in which known locations of the species listed here have been found as of the date of this version. There may be additional occurences of additional species within this area which have not been surveyed and/or mapped. Lack of information in the CNDDB about a species or an area can never be used as proof that no special species occur in an area.

CNDDB can be contacted for more information about these occurences.

- Spotted Owl

Animal Species
- Foothill Yellow-Legged Frog
- Pallid Bat
- North American Porcupine
- Purple Martin
- Steelhead - Central California coast DPS
- Sharsmith's Western Flax
- California Giant Salamander

Plant Species
- Clara Hunt's Milk-Vetch
- Calistoga Ceanothus
- Napa False Indigo
- Sharsmith's Western Flax
- Bent-Flowered Fiddleneck
- Narrow-Anthered Brodiaea
- Greene's Narrow-Leaved Daisy

USFWS Critical Habitat
- Steelhead

- Railroad
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

GENERAL PLAN UPDATE
City of St. Helena

DYETT & BHATIA
Urban and Regional Planners

TABLE 8.2: Special-Status Plant Species Known to Occur or Potentially Occur in St. Helena

Plant Species		Status		
Common Name	Scientific Name	Federal Listing Category (USFWS)	State Listing Category (DFG)	California Native Plant Society Category
Clara Hunt's milk-vetch	*Astragalus claranus*	E	T	1B
Napa false indigo	*Amorpha californica var. napensis*	--	--	1B
Narrow-anthered California bodiaea	*Brodiaea californica var. leptandra*	--	--	1B
Rincon Ridge ceanothus	*Ceanothus confusus*	--	--	1B
Calistoga ceanothus	*Ceanothus divergens*	--	--	1B
Holly-leaf ceanothus	*Ceanothus purpureus*	--	--	1B
Sonoma ceanothus	*Ceanothus sonomensis*	--	--	1B
Narrow-leaved daisy	*Erigeron angustatus*	--	--	1B
Two-carpellate western flax	*Hesperolinon bicarpellatum*	--	--	1B
Napa western flax	*Hesperolinon sp. nov. "serpentinum"*	--	--	1B
Colusa layia	*Layia septentrionalis*	--	--	1B
Jepson's leptosiphon	*Leptosiphon jepsonii*	--	--	1B
Cobb Mountain lupine	*Lupinus sericatus*	--	--	1B
Marin checkerbloom	*Sidalcea hickmanii ssp. viridis*	--	--	1B
Marsh checkerbloom	*Sidalcea oregana ssp. hydrophila*	--	--	1B

Plant Species		Status		
Common Name	Scientific Name	Federal Listing Category (USFWS)	State Listing Category (DFG)	California Native Plant Society Category
Sonoma beardtongue	*Penstemon newberryi var. sonomensis*	--	--	1B
Green jewel-flower	*Streptanthus breweri var. hesperidis*	--	--	1B
Oval-leaved viburnum	*Viburnum ellipticum*	--	--	2

Notes: CNPS = California Native Plant Society; DFG = California Department of Fish and game; USFWS = U.S. Fish and Wildlife Service
Legal Status Definitions
Federal Listing Categories (USFWS):
E Endangered
T Threatened
State Listing Categories (DFG):
E Endangered
T Threatened
R Rare
CNPS Categories:
1A Plant species presumed extinct in California.
1B Plant species considered rare or endangered in California and elsewhere (but not legally protected under the ESA or CESA).
2 Plant species considered rare or endangered in California but more common elsewhere (but not legally protected under the ESA or CESA)
3 Need more information about this plant (review list)
4 Limited distribution (watch list)
Sources: California Natural Diversity Database (CNDDB) 2007, DFG 2007, USFWS 2007

TABLE 8.3: Special-Status Wildlife Species Known to Occur or Potentially Occur in St. Helena

Animal Species		Status	
Common Name	Scientific Name	Federal Listing Category (USFWS)	State Listing Category (DFG)
Invertebrates			
Valley elderberry longhorn beetle	*Desmocerus californicus dimorphus*	T	--
California freshwater shrimp	*Syncaris pacifica*	E	E
Fish			
Central Valley steelhead (distinct population segment)	*Oncorhynchus mykiss*	T, NMFS	--
Chinook salmon, Central Valley (fall/late fall-run evolutionarily significant unit)	*Oncorhynchus tshawytscha*	C, NMFS	CSC
Amphibians			
California red-legged frog	*Rana aurora draytonii*	T	CSC
Foothill yellow-legged frog	*Rana boylii*	--	CSC
Reptiles			
Northwest pond turtle	*Clemmys marmorata marmorate*	--	CSC
Birds			
Cooper's hawk	*Accipiter cooperii*	--	CSC
Sharp-shinned hawk	*Accipiter striatus*	--	CSC
Black swift	*Cypseloides niger*	--	CSC
Yellow warbler	*Dendroica petechia brewsteri*	--	CSC
White-tailed kite	*Elanu leucurus*	--	CSC
Bald eagle	*Haliaeetus leucocephalus*	T	CSC
Double-crested cormorant	*Phalacrocorax auritus*	--	CSC

Animal Species		Status	
Common Name	Scientific Name	Federal Listing Category (USFWS)	State Listing Category (DFG)
Purple martin	*Progne subis*	--	CSC
Northern spotted owl	*Strix occidentalis caurina*	T	CSC
Mammals			
Pallid bat	*Antrozous pallidus*	--	CSC
Pacific Townsend's big-eared bat	*Corynorhinus townsendii townsendii*	--	CSC

Notes: DFG = California Department of Fish and Game; USFWS = U.S. Fish and Wildlife Service
Legal Status Definitions
Federal Listing Categories (USFWS):
E Endangered
T Threatened
C Candidate
X Critical Habitat is designated for this species by USFWS
NMFS Species under the Jurisdiction of the National Oceanic & Atmospheric Administration Fisheries Service
State Listing Categories (DFG):
E Endangered
T Threatened
CSC species of special concern
FPS Fully Protected Species
Sources: CNDDB 2007, USFWS 2007

Riparian corridors along Sulphur Creek, York Creek and the Napa River support a wide range of wildlife species.

CONSERVATION OF NATURAL RESOURCES

Conservation of natural resources includes protections not only for the plants, trees, animals, fish, birds, and microorganisms present in the urban and natural environment around us, but also for the water, soil, habitats, and ecosystems that make up the ecological community in which we live. The richer the diversity of life around us, the greater the opportunity for healthy living, economic development, and adaptive responses to new challenges such as climate change.

Preserving and enhancing wildlife migration corridors in and around St. Helena is a critical consideration for natural resource conservation in the community, and it is directly related to the viability of local species. Open space areas and riparian corridors represent important opportunities for wildlife migration, including the movement of animals, birds, and fish. Key issues to address in conserving and protecting migration corridors include the loss of vegetative coverage; barriers such as fencing and linear transportation infrastructure; increased noise; and the presence of domestic animals.

8 open space and conservation

Developing a multi-modal trail network linking open space areas with the rest of the community would provide the community with many benefits.

OPEN SPACE FOR OUTDOOR RECREATION

St. Helena seeks to make full use of its open space resources to support public recreation while protecting the integrity of its natural habitats. The City envisions developing a comprehensive, integrated open space system that includes parks, trails and open spaces to serve the needs of residents and visitors. In particular, it also seeks to improve circulation and create opportunities for residents to walk and bicycle safely throughout the City by locating multi-modal trails along river, stream and other water corridors. These corridors are important open space amenities that can provide additional opportunities for public access and recreation.

Developing a multi-modal trail network along stream corridors can enable the City to increase the amount of open space acreage available to residents for outdoor recreation use. It can also provide opportunities to draw attention to the important role that the Napa River and its tributaries play in maintaining a high quality of life in the City. However, ensuring that these are designed and developed to protect critical riparian habitats and species is essential for the City to meet its long-term conservation goals.

The Open Space and Conservation Element contains goals, policies and implementing actions that seek to balance the City's commitment to protecting its natural resources with its desire to expand residents' access to open space amenities. As a complement to the City's open space and conservation policy framework, the Parks and Recreation Element includes detailed descriptions of existing parks and recreational facilities, as well as policies and implementing actions related to their enhancement moving forward.

HEALTHY HUMAN ENVIRONMENT

There are additional opportunities to both utilize and protect open space resources in St. Helena's developed commercial and residential areas. Street trees and urban forests increase habitat for local and migratory birds, contribute to improved air quality, and provide shade. Expanding efforts to maintain and increase street trees can support the City's broader conservation goals.

Water conservation and habitat protection concerns result from soil contamination generated by industrial, agricultural, commercial, residential, or other uses that produce or utilize hazardous substances. Incorrect handling or disposal of these substances can compromise St. Helena's water quality, particularly when stormwater runoff occurs on contaminated sites. By promoting the clean-up of contaminated sites, ensuring new projects have environmentally responsible stormwater runoff systems and development practices, and strengthening outreach efforts to educate the public about proper use and disposal of hazardous materials, the City can bolster its citywide conservation efforts and meet its long-term goals.

Shade, habitat and improved air quality are all benefits provided by a healthy urban forest.

8 open space and conservation

Protecting and enhancing St. Helena's open space resources is a key component of the City's General Plan Vision.

8.3 Key Findings

There are several challenges and opportunities facing St. Helena related to open space and conservation. The following key findings are based upon a comprehensive existing conditions analysis and community input.

- St. Helena enjoys a wealth of open space resources, ranging from wooded hillsides and cultivated agricultural areas to stream corridors.
- The Napa River and its tributaries are key components of the City's open space network. The corridors surrounding these waterways provide important wildlife habitat and play an integral role in the City's natural flood protection. The Napa River is considered an impaired water body under the Clean Water Act and the federal EPA has set Total Maximum Daily Load (TMDL) thresholds for pathogens and sediment to serve as the starting point or planning tool for restoring water quality. The San Francisco Bay Area Regional Water Quality Control Board has established corrective actions to address pollutant levels in the Napa River in its San Francisco Bay Basin Water Quality Control Plan. Preserving and protecting the Napa River, its tributaries and surrounding corridors is essential to maintaining these resources as healthy ecosystems, critical habitats and valuable open spaces.
- The City is undertaking the Upper York Creek Dam Removal and Ecosystem Restoration (UYCDR) project to improve habitat quality and connectivity for Central California Coast Steelhead and other aquatic species. Constructed in 1900, the dam is now out of service and is preventing access to upstream spawning and rearing habitat and limiting the natural sediment flow to Lower York Creek and the Napa River. The project involves cutting a 23-foot wide notch in the earthen dam to restore unimpeded creek flow and reduce the potential for future downstream habitat degradation and fish kills by preventing potentially detrimental sediment releases during summer low-flow conditions. The UYCDR is very important to the region and its completion has been a long-standing goal for ecosystem restoration and assistance for the threatened Central California Coast steelhead.

CONCEPTS, TRENDS AND IDEAS

Integrated Watershed Management

An integrated management strategy should be utilized to protect and enhance St. Helena's water resources.

An integrated approach to aquatic restoration and management is a complex and multi-faceted process that comprehensively addresses the health of a watershed. The goal of this approach is to incorporate the specific issues of a local jurisdiction within a framework of broader environmental planning priorities. An integrated approach relies on partnerships between cities, counties, state and federal agencies, and local environmental groups to achieve mutual restoration and management goals.

Key watershed restoration and management strategies for St. Helena can include the creation and implementation of plans and projects to enhance watershed functions that affect the animal, plant and human communities within the area's watershed. Planning efforts and projects should be designed to address issues that affect the overall health and quality of St. Helena's watershed, such as: water supply; water quality; water recycling; drainage and flood control; stormwater runoff; ecosystem preservation and habitat protection; point and non-point pollution sources; and recreation and public access.

The City's Comprehensive Flood Control and River Restoration Project, completed in 2011, is an example of the City's efforts to provide integrated watershed management practices. This multi-benefit project provided 100-year flood protection for an area of St. Helena that has been subject to periodic historical flooding, provided river restoration, and open space areas for the City. This project is discussed in the public health, safety and noise element.

8 open space and conservation

The recreation needs of the community can be met by developing a system of integrated parks and open space areas.

- St. Helena is located over the Napa Valley Groundwater Subbasin and receives approximately 23 percent of its water supply from groundwater. The subbasin is part of the Napa-Sonoma Valley Groundwater Basin and groundwater in the water-bearing aquifers ranges from approximately 50 to 300 feet below ground surface. The subbasin is recharged by rain, irrigation water, and percolation from some streams and tributary channels. Outflow from the subbasin occurs through pumping, discharge to surface water, springs, and evapotranspiration.
- A total of 46 percent of the City's incorporated area is designated as Agriculture, with most acreage actively cultivated with vineyards. In addition, 14 percent is designated as Woodlands and Watersheds, which contains some agricultural uses, mostly vineyards, on hillsides near the city limits. Preserving agricultural uses and protecting agricultural lands from urban encroachment are important steps to maintaining these highly productive and valuable open space resources.

- The community has expressed a strong interest in creating a system of integrated parks and open space areas that serve the recreation needs of residents and visitors.
- Trees are an important part of St. Helena's natural character. Trees cool streets and public spaces, help control erosion, improve air quality and add to the aesthetics of the community. Preserving the City's tree resources, while planting new trees will enhance the high quality of life enjoyed by residents.

Both agriculture and natural resource areas provide St. Helena with open space amenities.

8 open space and conservation

The open space areas of St. Helena include built elements like the historic Pope Street Bridge.

8.4 Goals

The goals of the Open Space and Conservation Element are:

Preserve, Enhance, and Restore Natural Resources.
St. Helena is committed to preserving, enhancing and restoring its abundance of natural habitat, wildlife, and open space resources.

Ensure Stewardship of Water Resources.
St. Helena is dedicated to promoting water conservation and ensuring its natural supply of water is properly managed and securely maintained, improving water quality.

Expand Sustainable Agricultural Practices.
St. Helena is committed to continuing and enhancing its agricultural traditions by promoting and reinforcing sustainable agricultural practices.

Create access opportunities to enjoy natural resources responsibly.

8.5 Policies and Implementing Actions

A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. Natural Habitat and Biodiversity;
2. Open Space;
3. Water Resource Protection and Conservation; and
4. A Healthy Living Environment

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together, they serve as strategic directions for City staff and partners, highlighting where time and resources should be focused.

Sulphur and York creeks along with the Napa River support the majority of St. Helena's riparian vegetation.

topic area
1 NATURAL HABITAT AND BIODIVERSITY

Policies

OS1.1 Preserve and enhance St. Helena's riparian corridors for their value in providing wildlife habitat, biodiversity, natural drainage, and visual amenity.

OS1.2 Prohibit development, alteration, and/or removal of native vegetation from riparian areas. Disallow invasive species that degrade habitat quality.

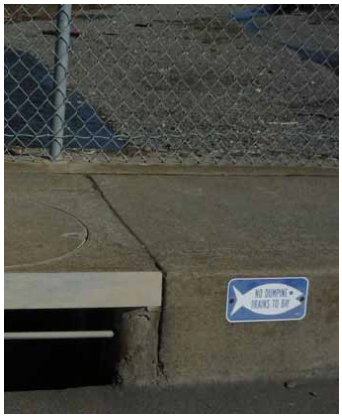
OS1.3 Protect and enhance contiguous corridors of riparian vegetation along the Napa River and its tributaries in order to support regional wildlife movement and enhance aquatic habitat.

OS1.4 Protect natural habitats that have the potential to support rare, endangered, or special-status wildlife and plant species. Control invasive species that degrade habitat quality.

OS1.5 Restrict development of hillside areas in order to protect wildlife, vegetation, viewsheds, and open space characteristics.

OS1.6 Manage invasive species that degrade habitat quality, especially along the Napa River and its tributaries.

OS1.7 Promote, encourage, and require sustainable agricultural practices that are sensitive to natural habitat and do not harm wildlife.



Signage programs can raise awareness about fragile natural systems.

topic area
1 NATURAL HABITAT AND BIODIVERSITY

Implementing Actions

OS1.A Develop and adopt an ordinance for the protection, restoration, and enhancement of creek corridors. The ordinance should consider the following:

- Establish setbacks for all new development projects to protect stream function and riparian habitat, while allowing for limited recreational uses and access to the stream corridor for maintenance and flood control;
- Limit use of herbicides and insecticides associated with aquatic toxicity in areas near and adjacent to creeks, and ensure best environmental management practices for all developments and industries;
- Provide access for creek maintenance and public use through easements and cooperative agreements with landowners;
- Establish sufficient buffer width adjacent to waterways to allow for wildlife habitats, trails, and greenbelts;
- Adhere to Living River Principles that allow the river to meander, maintain its natural floodplain and retain natural channel features to support continuous fish migration and the health of riparian corridors;
- Encourage the use of bioswales, off-stream detention ponds, and other green best practices for stormwater management;
- Implement an Integrated Pest Management ordinance that includes provisions to minimize the reliance on pesticides that threaten water quality and to require the use of integrated pest management in municipal operations; and
- Incorporate relevant actions and performance standards in TMDL implementation strategies for the Napa River to control discharges of pathogens and sediment.

OS1.B Restrict development on open space-designated parcels along Sulphur Creek west of the Crane Avenue Bridge. All development must be outside the stream corridor and structures must be set back from the creek's edge, consistent with California Department of Fish and Game standards. This does not preclude potential walking or multi-use trail development.

CONCEPTS, TRENDS AND IDEAS

Living River Principles

The gift of a relationship to water is a historic public good and a natural right that was compromised during the last century. The recovery of water quality, natural riverbanks, public access, and recreational uses of our regional rivers and streams is good for the economy and our communities. It is an investment in the future.

1. All citizens should be able to have a direct relationship to water.

2. All rivers and streams should meet the water quality standard for swimming.

3. Rivers and streams should support an increasing diversity of plant and wildlife.

4. Each community should monitor and care for water quality in rivers and streams.

5. Upstream community water problems should not impact downstream communities.

6. Water problems should be solved at the source, addressing cause, not effect.

7. Public rights to waterways and wetlands should not be compromised by private interests.

8. Wetlands and streams should be treated as economic and ecological assets.

9. Wetlands and streams should not be lost, and should be restored where possible.

10. Public access to and from the water, and along the water's edge, should be restored.

11. Riverbanks should be preserved or restored to their natural form wherever possible.

12. Pre-industrial connections between water and communities should be restored.

13. Redevelopment should accommodate public access to water and riverbanks.

14. Redevelopment should restore community, culture, ecology and economy.

topic area
1 NATURAL HABITAT AND BIODIVERSITY

OS1.C Coordinate with the California Department of Fish and Game, the Living Rivers Council, the Regional Water Quality Control Board and other federal, State, and local regional agencies with regulatory authority for water quality, protected plant and animal species, and streams and wetlands to restore and maintain creek corridors.

OS1.D Coordinate with the County, the California Department of Fish and Game, and other regional agencies to augment water flow in the Napa River and its tributaries in order to enhance year-round fish habitat and minimize stagnation and pollution.

OS1.E Create a work plan for restoring sensitive habitat that has been degraded by agriculture or other past practices. Where applicable, encourage agricultural enterprises to participate in restoration efforts and in efforts to prevent further degradation.

OS1.F Create a set of guidelines for the protection of special-status species and sensitive natural communities. Guidelines can include appropriate survey methods consistent with the California Department of Fish and Game, the U.S. Fish and Wildlife Service, NOAA Fisheries, and CEQA requirements.

OS1.G Require a biological assessment of any proposed project site where species or the habitat is defined as sensitive or special-status by the California Department of Fish and Game, NOAA Fisheries, or the U.S. Fish and Wildlife Service might be present, including the installation of new wind turbines for alternate energy. Avoid potential impacts of sensitive resources as part of new development to the maximum extent feasible. Where complete avoidance is not possible, the project applicant must secure any required authorizations from jurisdictional agencies and provide adequate replacement mitigation to ensure there is no net loss in habitat acreage or values.

topic area
1 NATURAL HABITAT AND BIODIVERSITY

OS1.H Require all proposed projects adjacent to a creek corridor or located in the city's hillside areas to submit a management plan for protecting natural habitats, including provisions to:

- Employ supplemental planting and maintenance of grasses, shrubs, and trees of similar quality and quantity to provide adequate vegetation cover to keep the watersheds on steep slopes and along streams in good condition, and to provide shelter and food for wildlife
- Provide protection for wildlife habitat.

OS1.I Require new development to be sited to maximize the protection of native tree species, riparian vegetation, important concentrations of natural plants, and sensitive wildlife habitat.

OS1.J Discourage and minimize the installation of deer fencing to maintain wildlife corridors and support regional wildlife movement.

OS1.K Require environmental review of new agricultural uses, including, but not limited to, farming, horticulture, floriculture and viticulture, animal husbandry, and livestock farming. The environmental review shall ensure that no sensitive biological resources would be adversely affected. Viticulture review must include the replanting of existing vineyards in accordance with County regulations.

OS1.L Discourage removal of trees for agricultural or other development in hillside areas. Ensure Woodlands and Watershed restrictions are followed.

topic area
1 NATURAL HABITAT AND BIODIVERSITY

OS1.M Encourage agricultural activities that incorporate best sustainable agricultural management practices, including participation in local programs such as the Napa Valley Vintners - Napa Green Program and the California Certified Organic Farmers certification program.

OS1.N Conduct a study to determine if the build-up of gravel in Sulphur Creek will result in a high risk of flooding. Limit development in Flood Hazard Areas using FEMA's 100-year flood zone regulations at a minimum, and inform property owners of existing developments so they are aware of flood risks and available State and Federal insurance opportunities. Ensure that implementation measures contribute positively to the preservation of the creek and its corridor.

OS1.O As part of new development, avoid disturbance to and loss of bird nests in active use by scheduling vegetation removal and new construction during the non-nesting season (September through January) or by conducting a preconstruction survey by a qualified biologist if vegetation removal and construction is initiated during the nesting season (February through August). Surveys for nesting birds will be conducted no earlier than 14 days prior to tree removal and/or breaking ground. In the event that nesting birds are found, the project applicant will consult with CDFG and obtain approval for nest-protection buffers prior to tree removal and/or ground-breeding activities. Nest protection buffers will remain in effect until the young have fledged.

OS1.P Avoid potential impacts on jurisdictional wetlands and other waters as part of new development to the maximum extent feasible. Where complete avoidance is not possible, the project applicant must secure any required authorizations from jurisdictional agencies and provide adequate replacement mitigation to ensure there is not less in habitat acreage or values.

OS1.Q Carry out the removal of the Upper Dam on York Creek sufficient to allow the passage of fish, especially Central California steelhead, a threatened species, and complete the restoration of historical fish habitat above the dam.

The City of St. Helena should continue to develop relationships with State and Federal agencies to identify, fund and implement projects that increase the awreness of natural systems.

topic area
2 OPEN SPACE

Policies

OS2.1 Maintain agriculture as the mainstay of the local economy by preserving agricultural lands as an invaluable and irreplaceable open space resource.

(Also see the Land Use and Growth Management Element for additional policies and implementing actions relating to agriculture.)

OS2.2 Preserve open space for mineral resources. Ensure compliance with State requirements in the preservation of known locations of mineral resources.

OS2.3 Preserve open space for recreational uses, including a bicycle and pedestrian trail system along creek corridors when compatible with riparian vegetation and wildlife habitat. Where possible, integrate stream corridors with trails and other recreational open space, provided that the vegetation, habitat value, and water quality is not significantly impacted.

OS2.4 Ensure convenient public access between developed areas and stream corridors by providing access at frequent intervals.

OS2.5 Limit public access to habitat areas when public access will significantly impact the sensitivity of the habitat area.

OS2.6 Support floodplain management strategies that ensure adequate open space for flood management consistent with Living River Principles, FEMA, and State requirements at a minimum.

(Also see the Public Health, Safety, and Noise Element for additional policies and implementing actions relating to flood management.)

Bioswales are a great example of a low impact design element.

topic area
2 OPEN SPACE

Implementing Actions

OS2.A Update the bicycle and pedestrian master plans every five years to establish alignments for proposed trails, design standards, amenities, and phasing. Determine and pursue the appropriate funding mechanisms for initial improvements and the long-term maintenance of the trail system, such as a landscape assessment district, real estate transfer tax, transient-occupancy tax, or bond measure.

(Also see the following elements: Circulation, Topic Area 2 and Parks and Recreation, Topic Area 6)

OS2.B Adopt a land dedication ordinance that requires developers to provide land and improvements, such as trails and re-vegetation, along both sides of water corridors as a condition of subdivision approval for areas adjacent or in the vicinity of St. Helena waterways. The width of dedicated corridors should be established in consultation with the California Department of Fish and Game.

OS 2.C Pursue easements to open space areas that do not have adequate access for maintenance and management purposes.

OS2.D Provide for open space opportunities by including passive and active public recreation areas within projects as they develop.

OS2.E Explore the possibility of public use or agricultural option of the waste-water treatment plant spray field in the form of trails and passive open space or other agricultural option.

topic area
3 WATER QUALITY AND CONSERVATION

Policies

OS3.1 Promote stormwater management techniques that minimize surface water runoff in public and private developments. Utilize low impact development techniques to best manage stormwater through conservation, on-site filtration and water recycling, and ensure compliance with the National Pollution Discharge Elimination System (NPDES) permit.

OS3.2 Reduce stormwater runoff in developed areas to protect water quality in creeks. Incorporate sustainable low impact design features in the design of infrastructure.

Implementing Actions

OS3.A Manage stormwater runoff in compliance with the City's Stormwater and Runoff Pollution Control Ordinance, Stormwater Management Standards for Construction and Post-Construction, and the Development Manual Stormwater Standards, to ensure compliance with the City's NPDES permit. Implement a surface water quality monitoring program to evaluate the effectiveness of stormwater management program activities in reducing the discharge of pollutants to receiving waters to the maximum extent practicable.

OS3.B Prevent water pollution from point and non-point sources, including runoff from agriculture, through implementation of City-adopted best management practices in applicable permits, Total Maximum Daily Load (TMDL), and the Plan for California's Nonpoint Source Pollution Control Program. Continue to adopt new and more effective and efficient best practices and programs.

OS3.C Minimize stormwater runoff and pollution by encouraging low impact design features, such as pervious parking surfaces, bioswales, and filter strips in new development projects. The City should be a model for incorporating low-impact design elements as it implements streetscape and landscape improvements. In addition, the City should retrofit the existing public landscape with

topic area
3 WATER QUALITY AND CONSERVATION

natural vegetative coverings or drainage systems that promote infiltration into the ground that can help detain stormwater and reduce pollution attributable to runoff.

(Also see the Community Design Element, Topic Area 1)

OS3.D Maintain the City's water management program, a program for implementing water conservation efforts for households, businesses, industries, public infrastructure, and agricultural activities. This program should include the following measures:

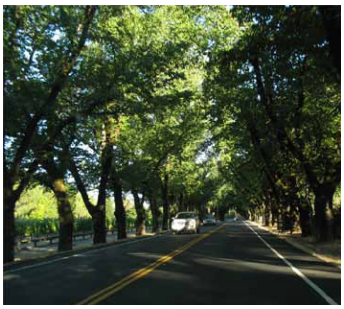
- Identify building, plumbing, and landscaping standards and technologies that conserve water, especially; during water shortages;
- Implement standards that require low-flow appliances and fixtures in all new developments; and
- Encourage and model the use of drought tolerant and native vegetation in landscaping.

OS3.E Promote the installation of drought tolerant and native plants in landscaping throughout the city. Potential measures include:

- An education program that details water conservation measures for use in local landscaping;
- Working with local nurseries to encourage education, demonstration, and sales of drought tolerant and native plants and water-wise irrigation systems.
  (Also see the Public Facilities and Services Element for additional policies and implementing actions relating to water conservation);
- Require City parks and properties to be landscaped with drought tolerant native plants that allow for high shade capacity wherever possible and use water-wise irrigation systems as a model for residents and businesses.

(Also see the Public Facilities and Services Element for additional policies and implementing actions relating to water conservation).

OS3.F Provide appropriate permitting documents for project applicants requiring coverage under the Statewide National Pollutant Discharge Elimination System (NPDES) General Construction and Industrial Permits.



St. Helena should strive to protect and enhance its natural resources.

topic area
4 A HEALTHY LIVING ENVIRONMENT

Policies

OS4.1 Protect and enhance tree resources in developed and undeveloped areas. Efforts should include: adequate maintenance of street trees, requiring replacement trees where existing significant trees cannot be saved, and requiring street trees as a condition of new development.

OS4.2 Encourage the clean-up of contaminated sites to protect the environment and public well-being.

OS4.3 Promote best management practices that encourage protection of soil, groundwater, and surface water resources from industrial, agricultural, and other uses that produce or dispose of hazardous or toxic substances.

Implementing Actions

OS4.A Establish an urban forestry program to ensure a coordinated and comprehensive approach to maintaining and increasing the City's trees. Key program aspects will include the following:

- A tree planting program to ensure that new trees are planted regularly;
- A tree maintenance program to ensure that existing trees are healthy and pruned;
- A tree inventory to create a comprehensive listing of the City's trees and tree-related needs;
- A Tree Committee to oversee the implementation of the urban forestry program and approval of tree removals;
- A landmark tree list that identifies trees that require additional protection from damage and/or removal; and
- Appropriate Heritage tree deed restrictions.

topic area
4 A HEALTHY LIVING ENVIRONMENT

OS4.B Until implementation of the City-sponsored urban forestry program occurs, continue to use the Master Street Tree List as a guideline for all street tree plantings.

OS4.C Develop and adopt a Tree Ordinance for the purpose of protecting trees and identifying replacement trees. In coordination with an urban forestry program, existing, significant trees should be integrated into future development. In cases where existing trees cannot be saved, require the planting of replacement trees consistent with guidelines included in the Master Tree List.

OS4.D Explore the concept of establishing a City nursery program to enhance native species for preparation and planting throughout the city.

OS4.E Explore a citywide education opportunity for residents, businesses, industries, and agricultural uses to obtain information on pollution prevention, disposal of hazardous waste and chemicals, liability, and clean-up.

OS4.F Coordinate with County, State and federal agencies, as necessary, to identify the location and extent of contaminated sites in St. Helena.

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chapter nine

public health, safety, and noise

9 public health, safety, and noise

The Public Health, Safety and Noise element identifies goals, policies, and implementing actions to minimize risks to life and property associated with natural hazards.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety, and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture, and entertainment

9.1 Purpose of the Element

The Public Health, Safety, and Noise Element presents a framework for minimizing risks posed by environmental and human-caused hazards that may impact St. Helena residents' health and welfare. The Public Health, Safety, and Noise Element aims to protect St. Helena residents, workers, and visitors from negative exposure to flooding, fires, hazardous materials, air pollution, and geologic and seismic hazards.

The Public Health, Safety, and Noise Element includes the following sections.

- **9.2 Public Health, Safety, and Noise in St. Helena.** Summarizes key issues related to the public health and safety of St. Helena residents, workers, and visitors (p. 9-3).
- **9.3 Key Findings.** Identifies key findings based on an existing conditions analysis (p. 9-23).
- **9.4 Goals.** Defines overarching goals to guide policies and implementing actions (p. 9-28).
- **9.5 Policies and Implementing Actions.** Identifies policies and implementing actions to minimize hazards and risks to life and property (p. 9-29).

9.2 Public Health, Safety, and Noise in St. Helena

St. Helena is surrounded by natural beauty, hillsides, vineyards, and waterways. While these natural features are great assets for the community, they can present risks due to flood, fire, geologic, and seismic hazards. In addition, human-caused risks, such as hazardous materials, air pollution, and unhealthy noise levels can also pose risks to community health and safety. Effective planning to prepare for and mitigate the adverse effects of these natural and human-caused risks can help ensure that St. Helena maintains a high level of safety for its residents, workers, and visitors. Following is a discussion of the various risks facing St. Helena and ways for the City to anticipate and manage potential impacts.

Low-lying portions of Napa Valley are prone to flooding.

FLOODING

The Napa River and some of its tributaries are prone to flooding, which poses a risk for people and structures in adjacent parts of the Napa Valley. The Napa River flows are largely influenced by precipitation. The peak flows generally occur in January and February. Some of the worst flooding in the immediate area of St. Helena has occurred in December and April, especially in and around the Vineyard Valley Mobile Home Park, which is near the confluence of Sulphur Creek and the Napa River. The area experienced significant flooding in 1986, 1995, 1997, and 2005 with extensive property loss.

Flood hazards also exist in the York Creek and Sulphur Creek Watersheds in St. Helena. During the 2005 New Year's Eve storm event, flooding from York Creek significantly impacted residential and industrial properties, including buildings located on the properties of Beringer Winery and the Culinary Institute. The Beringer water treatment plant flooded and ponds overflowed into the creek. In addition, the creek flooded vineyards on both sides of its corridor, downstream of State Route 29 to the Napa River.

Flood hazards in the Sulphur Creek watershed are due primarily to channel bed aggradation in the lower reach where gravel mining was historically conducted. Sulphur Creek continues to supply and deposit substantial amounts of sediment

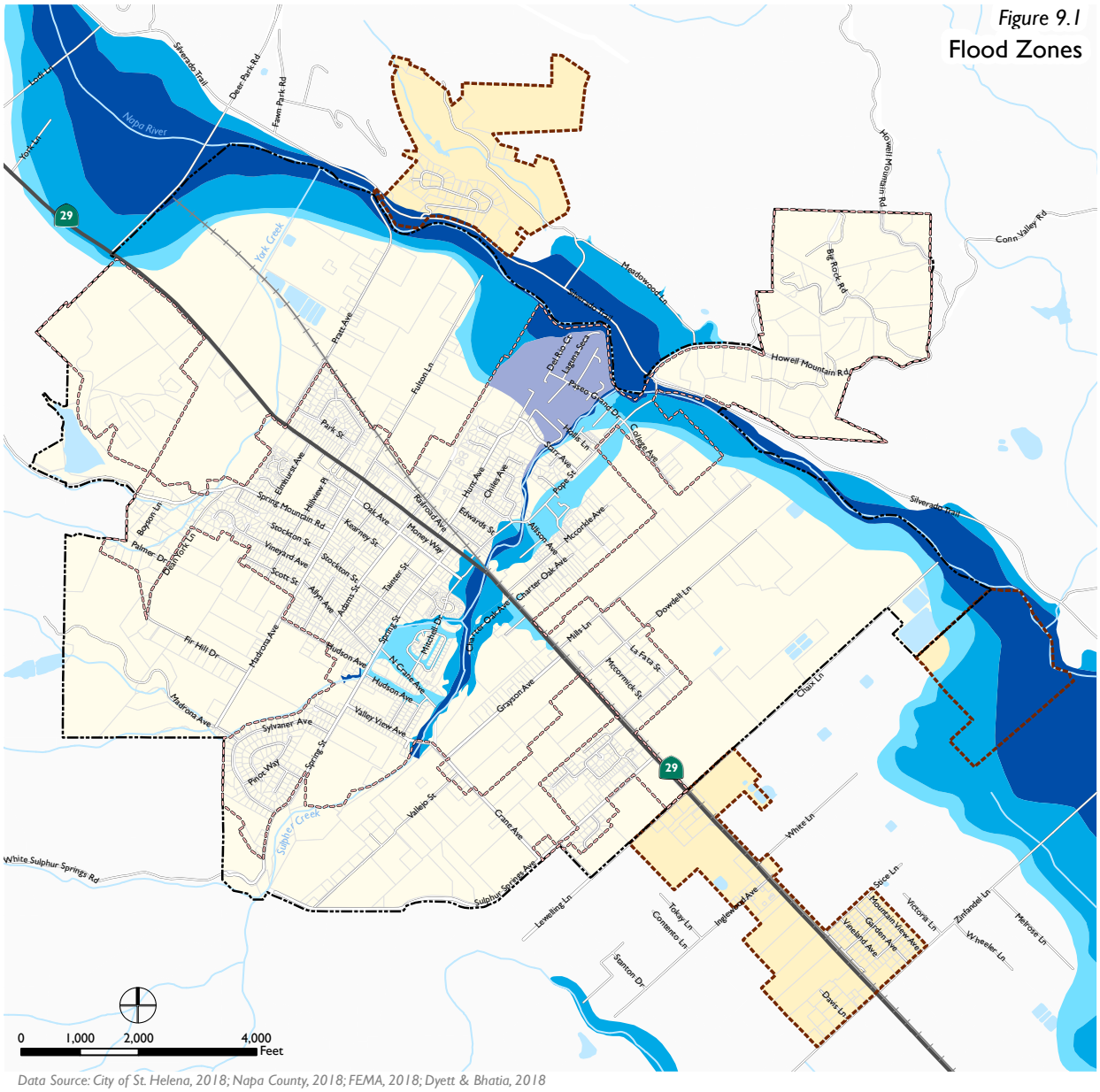
in this reach. Consequently, the increased volume of sediment currently stored in the channel decreases the volume available for floodwater, potentially causing an increased flood hazard locally and within the City of St. Helena. Further study needs to be done of the Sulphur Creek area in order to prevent future flooding and to protect habitat for steelhead and salmon.

Recently, the City collaborated with the Napa County Board of Supervisors and the Napa County Flood Control District to study the Napa River's hydraulics between Deer Park Road and Pope Street. The resulting study identified the need for an extension of the 100-year floodplain beyond the areas previously identified by the Federal Emergency Management Agency (FEMA). Figure 9.1 identifies areas that fall within the City's 100-year (one percent) and 500-year (0.2 percent) floodplain; as identified by the Federal Emergency Management Agency (FEMA) in 2018. Figure 9.2 includes areas in and around St. Helena that would be inundated in the case of dam failure.

COMPREHENSIVE FLOOD CONTROL AND RIVER RESTORATION

In 2011, the City completed a Comprehensive Flood Control and River Restoration Project north of the Pope Street bridge and on the west side of the Napa River. The purpose of this project was to protect residential property in the floodplain from the 100-year storm events and restoring the Napa River and its surrounding habitat. The project is designed to reduce flood risk to protect approximately 470 homes, including the Vineyard Valley Mobile Home Park and the Hunt's Grove Apartment Complex, that were located in a FEMA-designated flood zone prior to completion of the project. The project site was about 36 acres. The project planning began in 2000, with actual construction starting in May 2009. Phase I of the project consisted of construction of a levee, along with a storm drain bypass and other related infrastructure improvements. Phase II, the final phase of the project, included construction of a floodwall that is roughly eight feet high where it is anchored to the levee. The floodwall gradually reduces in height as it continues south along the Napa River to the confluence of the river and Sulphur Creek. It then turns to the west and continues along Sulphur Creek, terminating at

Figure 9.1
Flood Zones

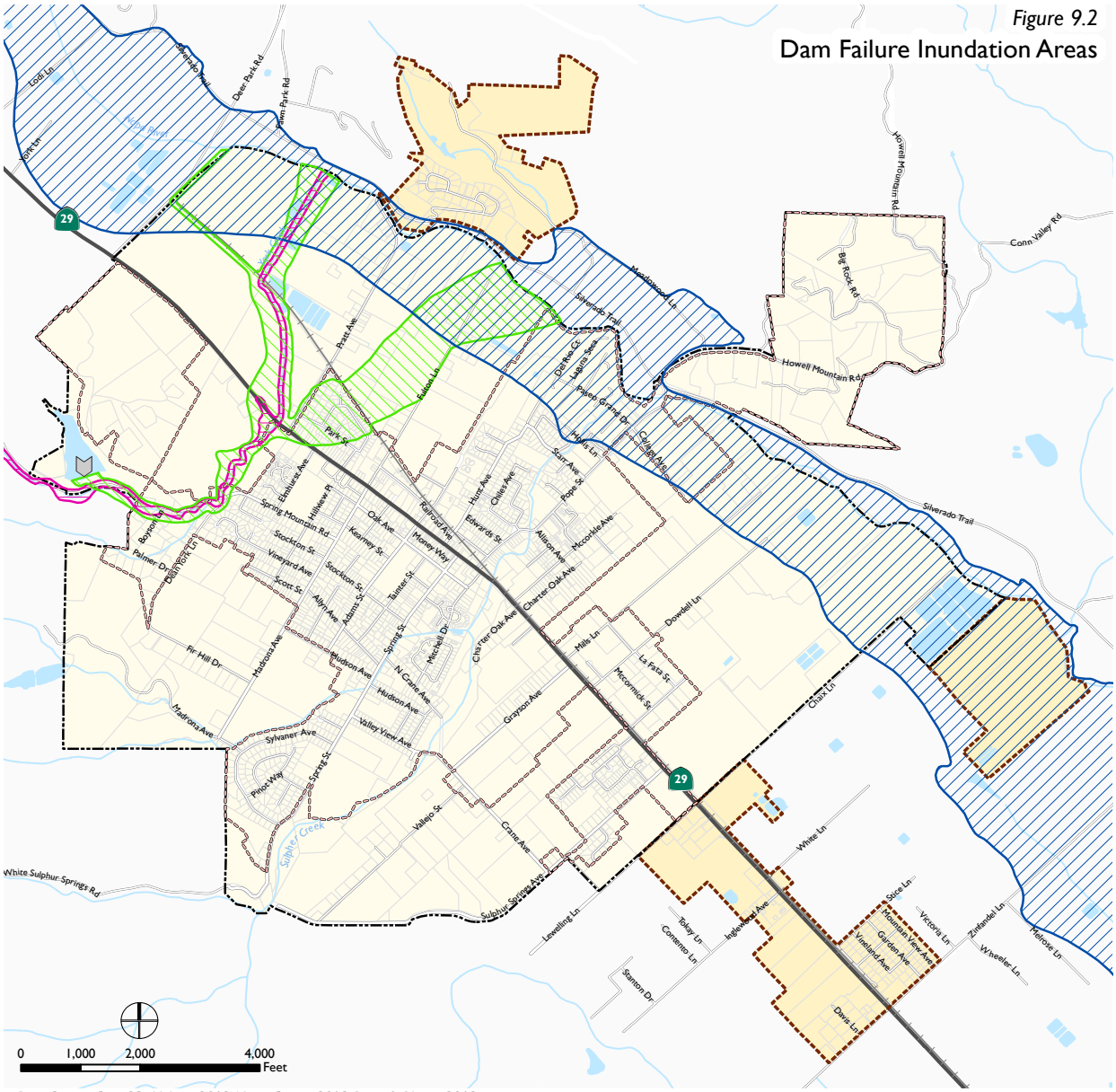


Data Source: City of St. Helena, 2018; Napa County, 2018; FEMA, 2018; Dyett & Bhatia, 2018

- Floodway
- 100-Year Flood Zone (1% Annual Chance Flood Hazard)
- 500-Year Flood Zone (0.2% Annual Chance Flood Hazard)
- Reduced Risk Areas due to Levee
- Railroads
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

Figure 9.2

Dam Failure Inundation Areas



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

St. Helena Lower Dam

Dam Inundation Areas

- Bell Canyon Dam
- St Helena Lower Dam
- St Helena Upper Dam

- Railroads
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

Paseo Grand Avenue. The wall is about three and a half feet high at its terminus. The total project cost was about $32 million, with the cost of construction at about $9.1 million.

To balance the removal of land from the floodplain, the area known as "lower terrace B" was cut down significantly and widened to accommodate the large flood flows. In Phase II, this terrace was cut down to the level of the Napa River and is designed to carry significant amounts of flood water, should it become necessary.

The second half of this $9.1 million project is the continuation of the flood wall around Vineyard Valley and habitat restoration in the "upper terrace B." The habitat restoration was a critical element of the overall plan and included the installation 40,000 plantings and anchoring fallen trees into the terrace. This project also included maintenance conducted according to a maintenance plan, irrigation, and development of a pedestrian interpretive trail.

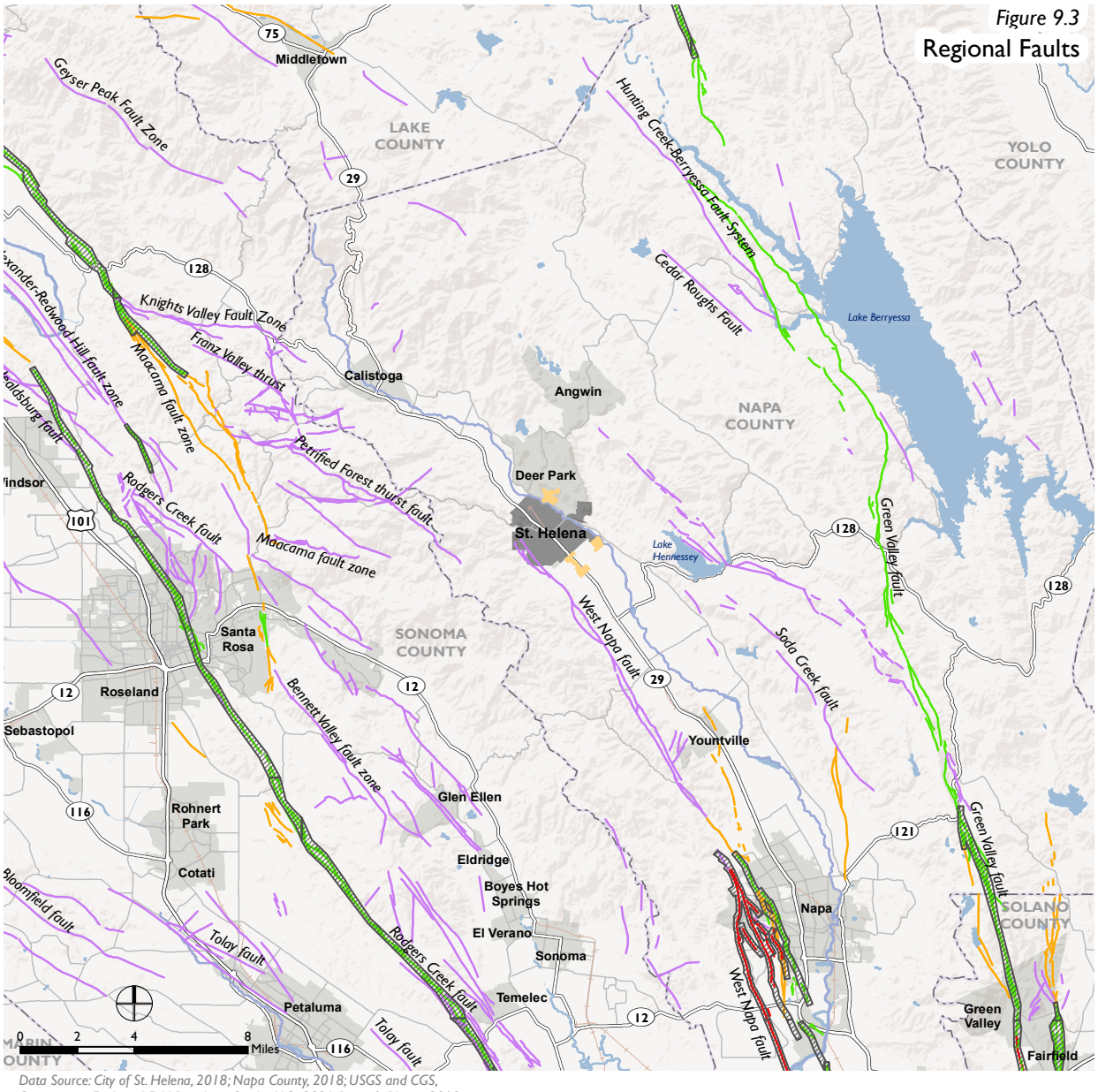
St. Helena has developed an Operations and Maintenance Manual for the Comprehensive Flood Control and River Restoration Project, which describes the extent of the project and outlines operation and maintenance activities that the City and Napa County Flood Control District will work together to manage. The manual describes project features, routine monitoring and maintenance activities, pump station operation, emergency operations, surveillance, personnel training, utility coordination and design.

In August 2014, a 6.0 earthquake struck the Napa Valley, with the epicenter of the quake approximately 6 miles southwest of the City of Napa. While damage from the quake was substantial in Napa, particularly in Napa's downtown area, St. Helena experienced very little to no measurable damage.

GEOLOGIC AND SEISMIC HAZARDS

Although St. Helena is located in a seismically active region, there are no known active faults located in the city *(see Figure 9.3)*. Faults are commonly considered to be active or likely to have another earthquake sometime in the future, if they have moved one or more times in the past 10,000 years. The California Geological Survey, the primary source of geologic information used for decision-making by California's government agencies, designates Alquist-Priolo Earthquake Fault Zones around the surface traces of active faults in the state and provides maps

Figure 9.3
Regional Faults



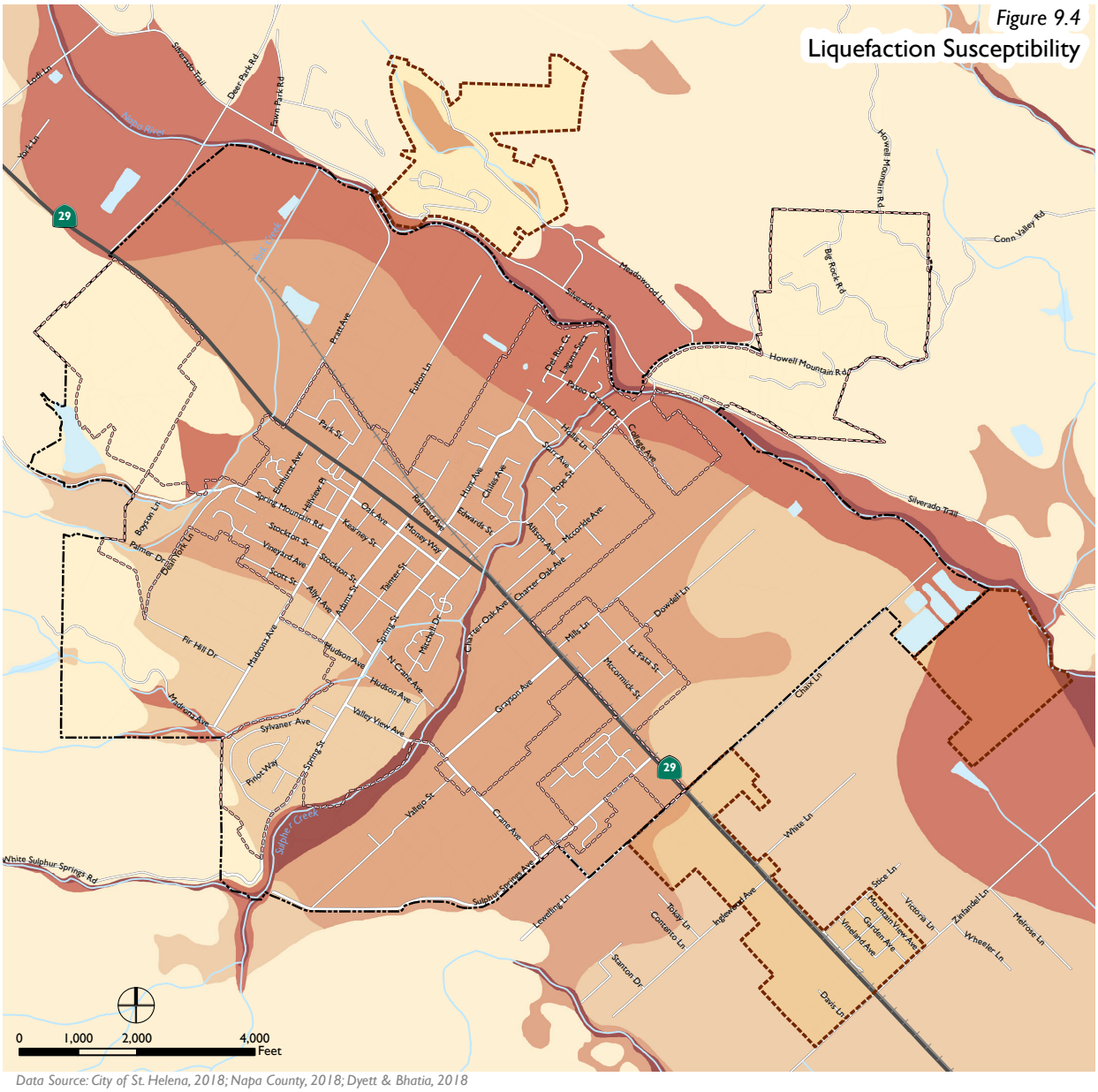
Data Source: City of St. Helena, 2018; Napa County, 2018; USGS and CGS, Quarternary Fault and Fold Database for the U.S., 2006; Dyett & Bhatia, 2018

Geologic Features
- Historic (<150 years)
- Latest Quaternary (<15,000 years)
- Late Quaternary (<130,000 years)
- Undifferentiated Quaternary (<1.6 million years)
- Alquist Priolo Fault Zones

- County Boundary
- Waterbodies
- City of St. Helena
- Study Areas
- Urban Areas
- Freeway/Major Highway
- Major/Minor Roads
- Railroads

Figure 9.4

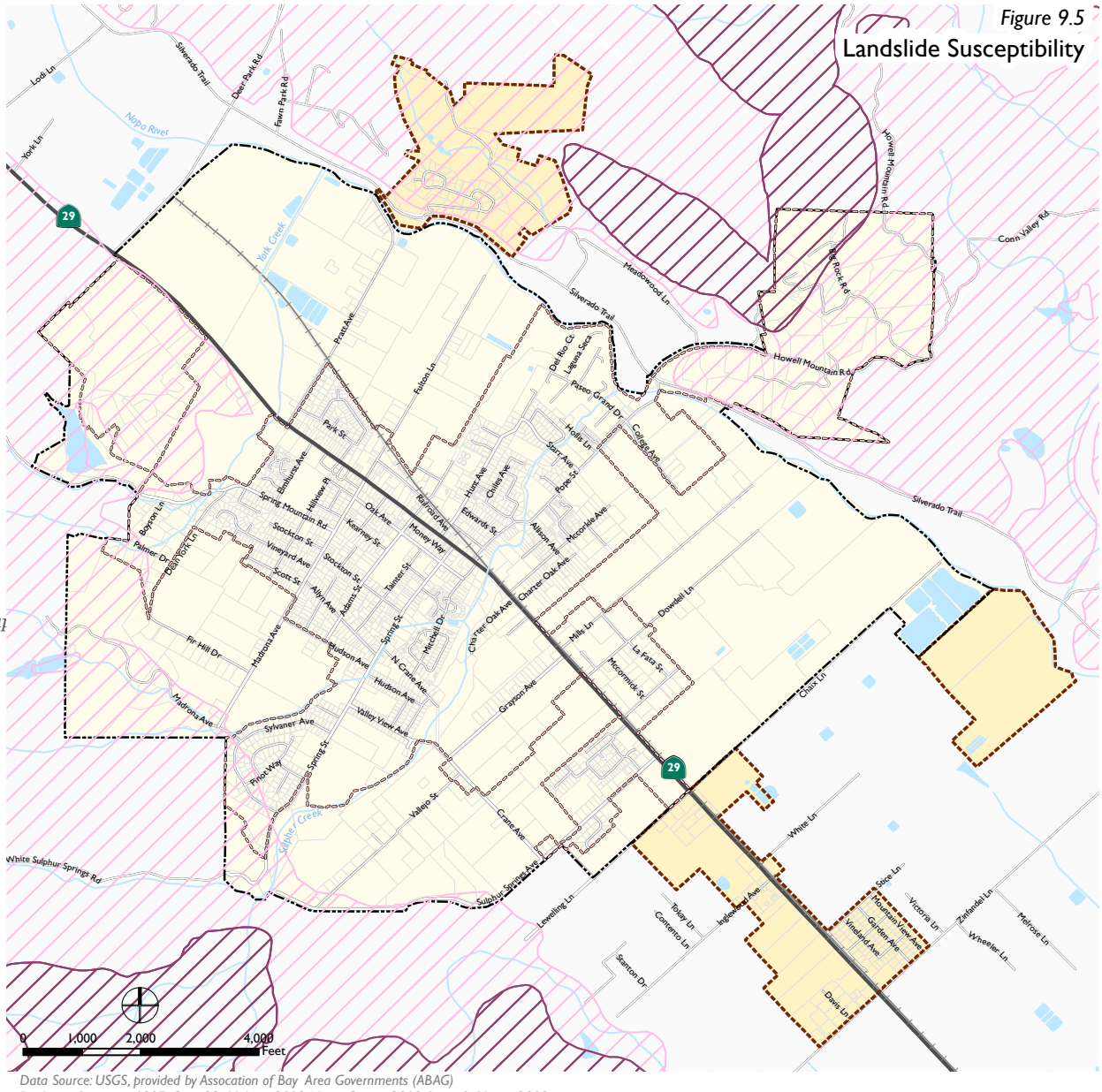
Liquefaction Susceptibility



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

- Very High
- High
- Medium
- Low
- Very Low
- Water
- Railroads
- Urban Limit Line
- Study Areas
- City of St. Helena

Figure 9.5
Landslide Susceptibility



Data Source: USGS, provided by Association of Bay Area Governments (ABAG) Resilience Program; 1997, City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

Existing Landslide Distribution
- Mostly Landslide
- Few Landslides

- Railroads
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

Mostly Landslides - Consists of mapped landslides, intervening areas typically narrower than 1500 feet, and narrow borders around landslides; defined by drawing envelopes around groups of mapped landslides.

Few Landslides - contains few, if any, large mapped landslides, but locally contains scattered small landslides and questionably identified larger landslides; defined by drawing envelopes around areas free of mapped landslides.

for use in planning and controlling new or renewed construction so as to minimize associated risks. According to the most recent maps the nearest active faults to St. Helena are the West Napa Fault, located 14 miles to the south, and the Rodgers Creek Fault, located 13 miles to the west. Additionally, a number of unnamed, relatively small, older faults are located at the base of the Sonoma and Vaca mountains along the margins of the Napa Valley; however, based on available information, displacement of these faults occurred more than 10,000 years ago and as such these faults are not considered active.

Overall, the fault rupture hazard for the city is considered to be low, and the primary geologic hazards of concern are those that could result from excessive shaking effects stemming from earthquakes elsewhere in the region. For instance, a large earthquake event in the area could result in liquefaction in the city's low-lying areas *(see Figure 9.4*), and landslides and debris flow in areas with sloped, hilly terrain (*see Figure 9.5*). Development in the city's upland areas has often required the removal of trees and vegetation, leaving some hillsides susceptible to erosion and landslides during heavy rains. Actions available to the City to protect areas of the community at greatest risk and minimize the risks of injury and property damage include restricting development in the hillside areas and requiring prompt re-vegetation on slopes prone to instability. The use of best management practices during construction can also limit erosion and the risk of landslides. Employing earthquake engineering strategies in the design of buildings and structures, such as installation of earthquake drains or use of low mobility grouting and dynamic compaction during construction, can limit risks associated with liquefaction.

Air pollution from auto exhaust and dust, can pose health hazards among sensitive populations.

AIR POLLUTION AND HAZARDOUS MATERIALS

Mitigating the public health and safety risks caused by air pollution and hazardous materials will inevitably require changing human behavior. Air pollution resulting from auto exhaust, tobacco smoke, and fugitive dust creates unhealthy air conditions for residents and can pose a particular threat to sensitive populations, such as children and older adults. Implementing measures to reduce auto trips, tobacco smoke exposure, and construction-related fugitive dust can help St. Helena reduce residents' contact with air pollution. Compact development patterns, facilities to encourage walking and biking, and incentives to reduce automobile trips are just a handful of ways that St. Helena can help improve local air quality.

The Bay Area Air Quality Management District (BAAQMD) is the public agency responsible for regulating stationary sources of air pollution in Napa County and the San Francisco Bay Area. BAAQMD monitors air quality in the nine-county Bay Area and reports annually on pollutant concentrations for comparison to State and federal health-based ambient air quality standards. Data indicates that in the Bay Area, as throughout the state, the transportation sector and mobile sources of emissions are the most significant sources of air pollution. Senate Bill (SB) 375, approved by the Governor on September 30, 2008, seeks to reduce greenhouse

gas emissions—and, consequently, other pollutants—from mobile sources by integrating land use and transportation planning at the regional level. *(For a more detailed discussion of SB 375 and related opportunities see the Climate Change Element.)*

Hazardous materials used by local businesses are often transported on the City's roadways and found present in smaller quantities in private homes in the form of solvents, cleaning fluids, and other substances. Implementing policies to improve the safe use, transport, and disposal of these materials can be instrumental in avoiding environmental contamination and human health impacts.

NOISE

Noise is a sound which is unhealthy or unwanted. It can be a human-caused public health hazard which includes excessive, intrusive, or objectionable noises that disrupt daily life. Noise has been tied to physiological effects ranging from hearing loss, high blood pressure, and sleep disturbance, to communication interference and general interruption and annoyance of normal daily activities. Definitions of acoustical terms used in this discussion are listed in Table 9.1.

Land uses have different levels of compatibility relative to noise, and the State of California mandates that general plans include noise level compatibility standards for the development of land as a function of a range of noise exposure values (see Table 9.2). Table 9-3 identifies interior noise standards.

The ambient noise environment throughout much of St. Helena is extremely quiet in comparison to typical urbanized settings, especially in the evenings and at nighttime. With the exception of Main Street (State Route 29) and major collector roadways, the noise environment can be characterized as being that of a quiet rural setting. Residential areas are generally shielded from traffic noise on highways, arterials, and collectors and register very low background sound levels.

Sleep disturbance and the annoyance of sound not only depend on the absolute sound level of a noise source but are related to the magnitude of the noise above that of background sound levels. This means that in particularly quiet rural environments, the control of extraneous, intrusive, and annoying noise sources is

TABLE 9.1: Definition of Acoustical Terms

Term	Definition
Decibel, dB	A unit describing the amplitude of sound. Equal to 10 times the logarithm to the base 10 of the ratio of two like quantities.
Sound Pressure Level (SPL)	10 times the logarithm to the base 10 of the ratio between the square of the sound to the square of the reference sound pressure of 20 µPascals. Sound pressure level is the quantity that is directly measured by a sound level meter and expressed in dB.
Frequency, Hz	The number of complete pressure fluctuations per second above and below atmospheric pressure is expressed in Hertz (Hz). Normal human hearing is between 20 Hz and 20,000 Hz.
A-Weighted Sound Level, dBA	The SPL in decibels as measured on a sound level meter using the A-weighting filter network. The A-weighting filter de-emphasizes low frequency components of sound in a manner similar to the frequency response of the human ear and correlates well with subjective response to sound.
Noise	Unwanted or unhealthful sound.
Equivalent Noise Level, LAeq	The average A-weighted sound level during the measurement period. The A-weighted equivalent continuous sound level.
LAmax, LAmin	The maximum and minimum A-weighted sound level during the measurement period with the sound meter using fast-time-weighting.
LA01, LA10, LA50, LA90	The A-weighted sound levels that are exceeded 1%, 10%, 50%, and 90% of the time during the measurement period.
Day/Night Noise Level, Ldn	The average A-weighted sound level during a 24-hour day, obtained after the addition of 10 decibels to levels measured at night between 10:00 pm and 7:00 am.
Total Sound	The composite of sound from all sources near and far.
Ambient Sound	The sound level measured in the absence of an intrusive or extraneous noise.
Intrusive Noise	That noise from a source of specific origin which intrudes above the existing background sound level. The degree of intrusiveness of a sound depends upon its amplitude, duration, frequency, time of occurrence, and tonal or informational content as in contrast to the prevailing background sound level which exists in the absence of the intrusive noise.
Background Sound Level	The LA90 of the ambient sound. It represents the ever present lower sound level due to distant sources which are individually indistinguishable, and in the absence of the Intrusive or Extraneous Noise.
Extraneous Noise	Specific or distinguishable intermittent sound from nearby sources such as mechanical devices, leaf blowers, pumps, horns, sirens, barking, shouting, birds, wind and other similar individual sources, which don't normally exist on a continuous or regular basis.
Intermittent Noise	A noncontinuous sound consisting of a number of clearly distinguishable sound events of varying frequency and/or intensity.

TABLE 9.2: Noise Land Use Compatibility Guidelines

Land Use Category	Completely Compatible[1]	Tentatively Compatible[2]	Normally Incompatible[3]	Completely Incompatible[4]
Residential	< 55 dBA	55-60 dBA	60-75 dBA	> 75 dBA
Commercial/ Office	< 65 dBA	65-75 dBA	75-80 dBA	> 80 dBA
Industrial/ Agricultural	< 70 dBA	70-80 dBA	80-85 dBA	> 85 dBA
School, libraries, churches, hospitals	< 65 dBA	65-70 dBA	70-80 dBA	> 80 dBA
Playground, neighborhood park	< 67 dBA	67-70 dBA	70-75 dBA	> 75 dBA

a Expressed as Ldn or CNEL.
1. Completely Compatible – Specified land use is satisfactory, based on the assumption that any buildings involved are or normal conventional construction.
2. Tentatively Compatible – New construction or development should be undertaken only after a detailed analysis of the noise reduction requirements is made and needed noise insulation features are included in the design. Conventional construction, but with closed windows and fresh air supply systems of air conditioning will normally suffice.
3. Normally Incompatible – New construction and development should generally be discourage. If new construction or development does proceed, a detailed analysis of the noise reduction requirements must b made and needed noise insulation features included in the design.
4. Clearly Incompatible – New construction or development should generally not be undertaken.

TABLE 9.3: Maximum Interior Noise Level Criteria of Intermittent Noise for Public Use Facilities

Land Use	Maximum Intermittent Noise Level LAmax	Basis for Criterion
Concert Hall	25	Intrusion of noise may spoil artistic effect
Theater	30	Intrusion of noise may spoil artistic effect
School Auditorium	35	Minimize intrusion into artistic performance
School Classroom	55	Speech communication-20 ft.-raised voice
School Laboratory	60	Speech communication-6 ft.-normal voice
Church/Sanctuaries	45	Speech communication-50 ft.-raised voice
Library	55	Speech communication-3 ft.-normal voice

Source: Adapted from Table 2 in "Night Insulation Problems in Buildings," Paul S. Veneklasen & Associates, 1973; Noise Element of the Napa County General Plan, 1982.

Human-caused public health hazards include excessive, intrusive or objectionable ambient noises that disrupt daily life.

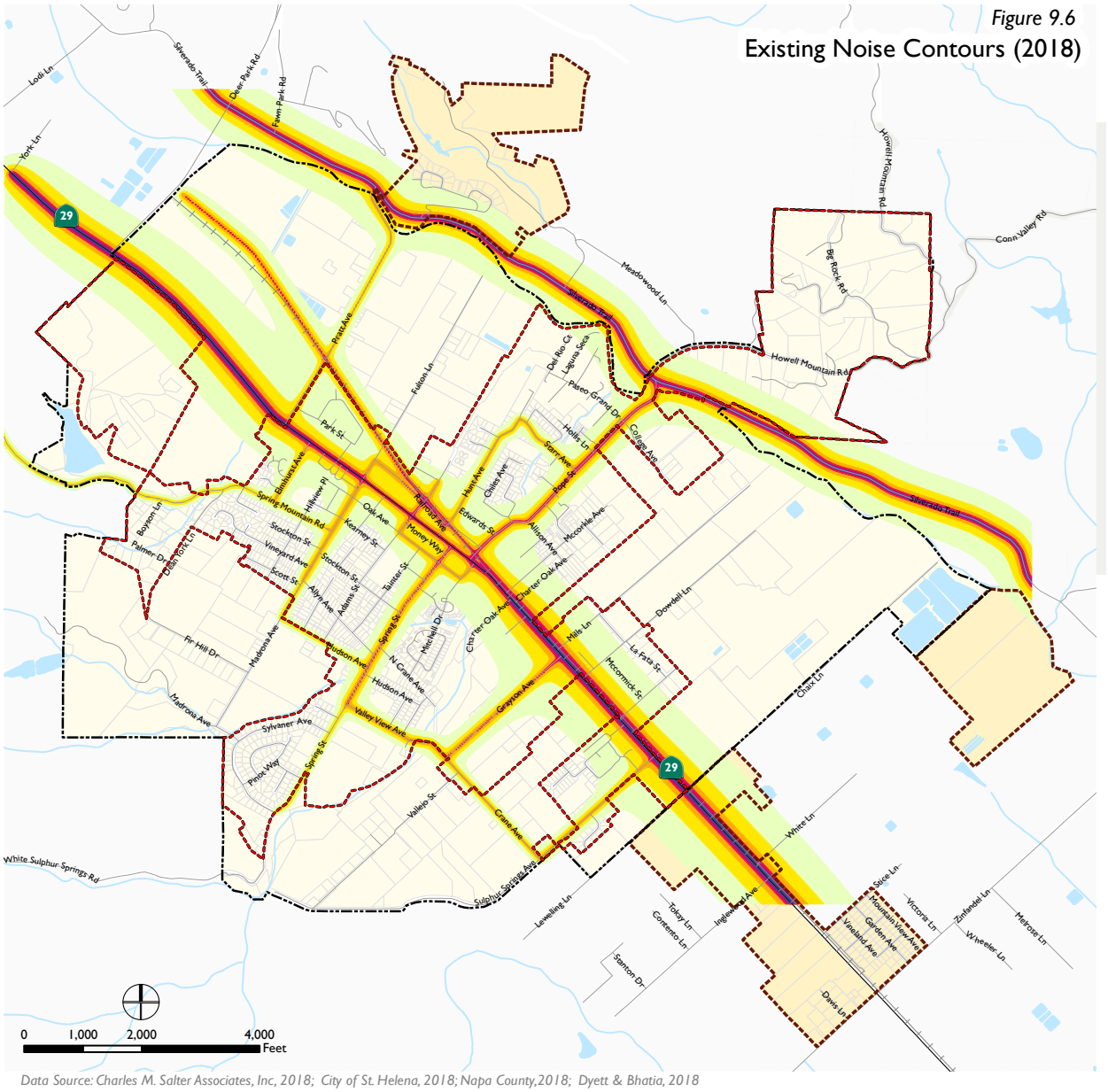
important to maintaining the public health and a quality living sound environment expected by the community. Typically, a change in noise levels of less than 3 dBA is not discernable to the general population. Increases in average noise levels from 3 to 5 dBA are clearly discernable to most people and increases in average noise levels of more than 5 dBA are common considered to constitute a significant environmental impact in many California communities.

Vehicular traffic on Highway 29 and collector streets is the primary source of noise in the community. Other non-stationary sources which are intermittent and generally inconsequential to the noise environment include flyover commercial aircraft at high altitudes, and small general aviation and helicopter flyovers. The Wine Train travels to St. Helena each day and emits a loud horn at crossings, along with the low frequency rumble of the diesel engines. Typical stationary noise sources in St. Helena include agricultural and industrial activities. Agricultural activities result in noise from wind machines, tractors, and sulphur blowers which are employed in the spring in the early hours of the morning. The St. Helena Fire Department has sirens at two locations which sound on average two to three times per day, with approximately half of them occurring during nighttime hours. Noise contours as of 2018 are seen in Figure 9.6.

Noise concerns in St. Helena are principally linked to land use compatibility. Concerns relate to adverse noise effects from new commercial development on surrounding noise-sensitive uses such as residences and schools, and also to adverse noise effects from agricultural activities within the city limit. Right-to-farm provisions necessitate accommodating agricultural uses while also seeking to minimize conflicts. To address these concerns and to promote a compatible noise environment throughout the city, Table 9.4 establishes limits on intrusive noise and regulates the amount of noise a specific sound source can emit relative to the typically low residential background sound levels. This standard is specific to residential areas within St. Helena. Additionally, by generally promoting good neighbor practices and facilitating open communication between agricultural, commercial, and residential uses the City can help to foster a healthy noise environment. Noise contours projected for 2040 as a result of the General Plan are shown in Figure 9.7.

Figure 9.6

Existing Noise Contours (2018)



Data Source: Charles M. Salter Associates, Inc, 2018; City of St. Helena, 2018; Napa County,2018; Dyett & Bhatia, 2018

DNL 55 - 60 dB
DNL 60 - 65 dB
DNL 65 - 70 dB
DNL 70 - 75 dB
DNL 75 - 80 dB

Urban Limit Line
Study Areas
City of St. Helena

TABLE 9.4: Standard and Adjustments for Determining Noise Impact of Intrusive Noise for Residential Receptors

STANDARD

The LAeq of an intrusive noise shall not exceed the following values:

- 7 am – 7 pm (daytime) 45 dBA
- 7 pm – 10 pm (evening) 40 dBA
- 10 pm – 7 am (nighttime) 35 dBA

Or shall not exceed LA90 + 5 dBA whichever is greater. The background sound level LA90 must be measured for a minimum of 10 minutes in the absence of the intrusive noise at the appropriate time of noise impact.

The maximum noise level LAmax of any intrusive noise shall not exceed the LAeq limits by more than 10 dBA.

The limits for intrusive noise are to be corrected as indicated below.

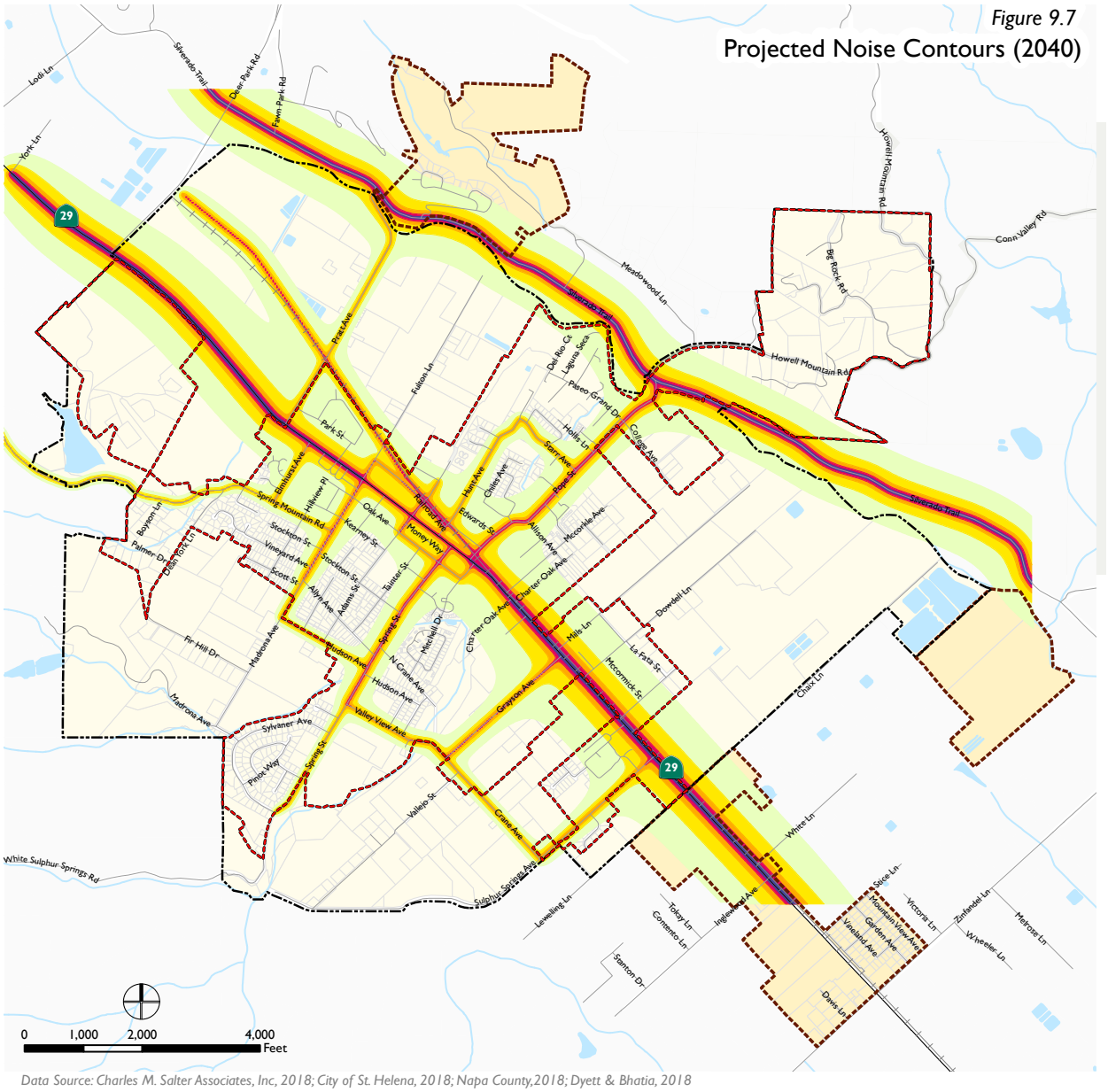
These noise limits apply to the nearest residential property line or at the nearest affected location on the receiver's property.

CORRECTIONS FOR INTRUSIVE NOISE		
Type of Correction	Circumstances of Correction	Correction[a]
Seasonal	Summer or year round operation	0 dBA
	December through March only	+ 5 dBA
Tone or Impulse	No tonal or impulse character	0 dBA
Characteristics	Tonal character[b] present in noise	- 5 dBA
	Impulsive[c], repetitious or modulating[d] signal	- 5 dBA[e]

Notes:
a Correction to be applied to the Standard's limits for intrusive noise.
b Tonality exists when the 1/3 octave noise level of the tone is 5 dB greater than the average level of the two adjacent 1/3 octave frequency bands.
c Transient sound having a peak level of short duration typically less than 100 msec.
d Either in amplitude, frequency or duration including compressor "hammering" noise.
e In addition to correction for tonality.

Figure 9.7

Projected Noise Contours (2040)



Data Source: Charles M. Salter Associates, Inc, 2018; City of St. Helena, 2018; Napa County,2018; Dyett & Bhatia, 2018

DNL 55 - 60 dB
DNL 60 - 65 dB
DNL 65 - 70 dB
DBL 70 - 75 dB
DNL 75 - 80 dB

Urban Limit Line
Study Areas
City of St. Helena

St. Helena's fire and police departments respond to structural fires, wildfires and other disasters.

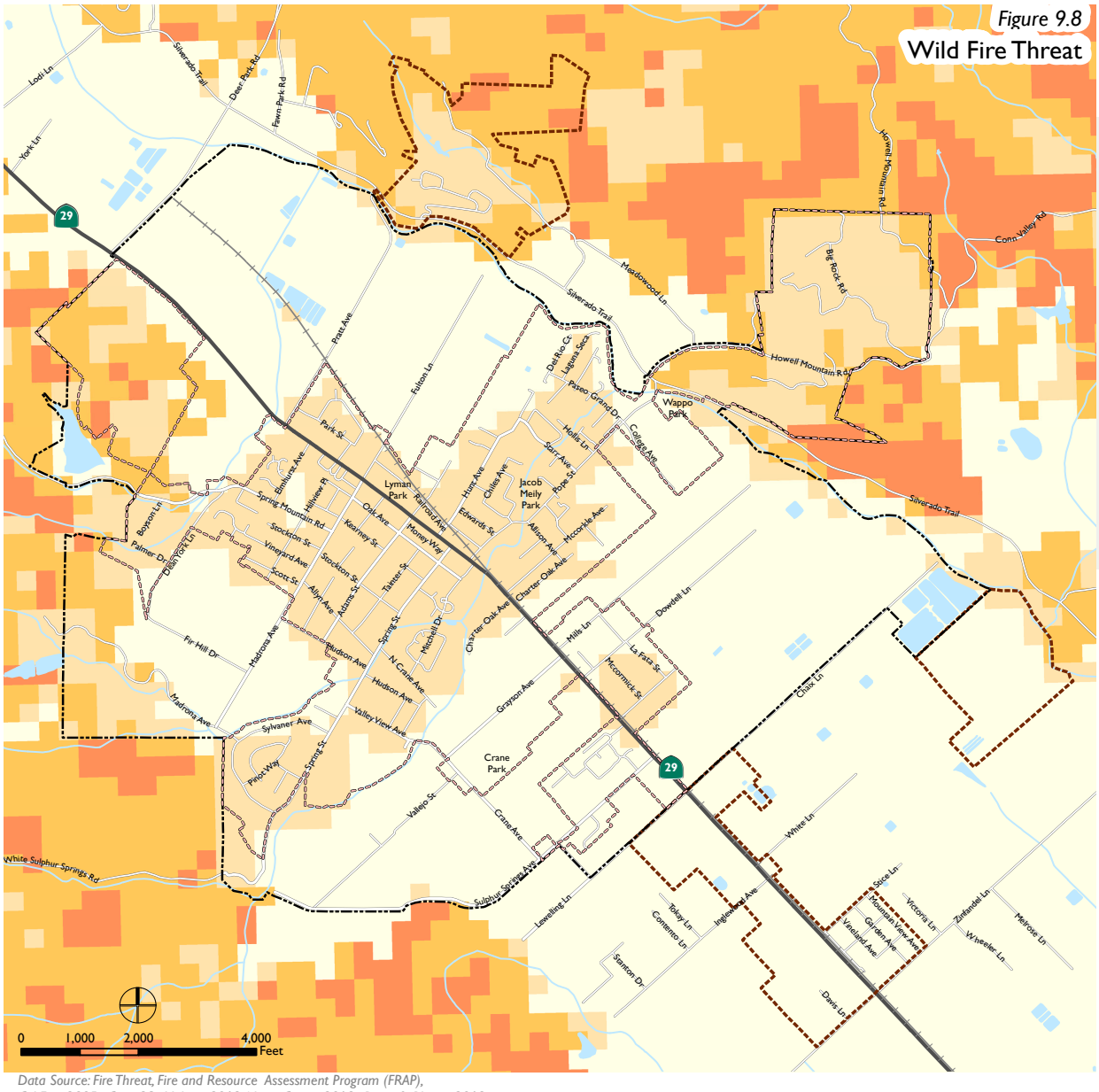
FIRE

Key human-caused public health and safety hazards affecting St. Helena include structural fires, wildfires, and other disasters that require advanced planning. Overall, in the urbanized portion of St. Helena within the city limit, the risk of wildfire is moderate to low; however, areas of the city in the hilly terrain along the western perimeter of the city and east of the Napa River are classified as having high or very high fire threat by the California Department of Forestry and Fire Protection (CAL FIRE) *(see Figure 9.8)*.

Fires occurring in the heavily-wooded hillside areas can be difficult for firefighters to address due to traffic congestion on City streets, particularly when emergency vehicles must travel on or across State Route 29. Furthermore, traffic congestion can pose important challenges to St. Helena's collaboration with neighboring municipalities and agencies seeking to establish and implement regionally coordinated disaster planning for police, fire, and emergency medical services. The City can work with local, regional, and state agencies to address key traffic-related concerns on State Route 29 and County roads to ensure that adequate levels of fire protection are maintained, particularly on hillsides and in fire-prone

Figure 9.8

Wild Fire Threat



Data Source: Fire Threat, Fire and Resource Assessment Program (FRAP), Cal Fire, 2005; City of St. Helena, 2018; Napa County,2018; Dyett & Bhatia, 2018

Fire Threat Level (Cal Fire)
- Extreme Threat
- Very High Threat
- High Threat
- Moderate Threat
- Little or No Threat

- Urban Limit Line
- Study Areas
- City of St. Helena

areas, and to support regional collaboration for disaster preparedness. This ability to coordinate fire response is especially critical in the current drought conditions facing the region and the State.

CONCEPTS, TRENDS AND IDEAS

Hazard Mitigation Planning

FEMA oversees hazard mitigation plans.

Hazard mitigation is defined by the Federal Emergency Management Agency (FEMA) as "sustained action taken to reduce or eliminate long-term risk to people and their property from hazards." The goal of hazard mitigation is to ensure long-term resilience against natural and human-caused hazards.

Mitigation Plans form the foundation for a community's long-term strategy to reduce disaster losses and break the cycle of disaster damage, reconstruction and repeated damage.

As a condition for receiving certain types of non-emergency disaster assistance, State, Tribal, and local governments are required to develop a hazard mitigation plan. Napa County, in cooperation with the cities of St. Helena, Napa, American Canyon, Yountville, and special districts, prepared a Local Hazard Mitigation Plan (LHMP) in 2007. The Napa County LHMP sets forth goals, mitigation strategies and mitigation action items for flooding, earthquakes, wildland fire interfaces and terrorism and technological hazards. Working together, local communities and jurisdictions in Napa County can reduce the long-term risks associated with natural and human-caused hazards. The Public Health, Safety and Noise Element is St. Helena's primary policy tool for ensuring local action and St. Helena's involvement in implementing regional hazard mitigation strategies.

9.3 Key Findings

There are several challenges and opportunities facing St. Helena related to public health, safety, and noise. The following key findings are based upon comprehensive existing conditions analysis and community input.

Flooding

- Flooding in Napa County generally occurs within the low-lying Napa Valley floor. Between 1961 and 1997, flooding resulted in approximately $540 million in property damages. St. Helena experienced major flood events in 1986, 1995, and 2005 that caused an estimated combined total of $95.6 million in damages in the city. Most flooding occurred in the vicinity of Vineyard Valley from Fulton Lane to Pope Street.
- The flood history of York Creek suggests that the creek bed is not of adequate size to convey larger storm events. During the 2005 New Year's Eve storm event, flooding from York Creek significantly impacted residential and industrial properties. The Beringer water treatment plant flooded and ponds overflowed into the creek. In addition, the creek flooded vineyards on both sides of its corridor, downstream of State Route 29 to the Napa River.
- Until 2002, an aggregate mining operation, now discontinued, removed approximately 40,000 to 50,000 cubic yards of material from Sulphur Creek annually. Further study is needed to determine how aggregate buildup at Sulphur Creek may affect flooding issues in the area.
- Completed in June 2011, the City of St. Helena Comprehensive Flood Control and Environmental Restoration Project provides a minimum 100-year level of flood protection within the project and surrounding area of St. Helena. Design of the project was done on the basis of a Napa River Flood Model Study from Zinfandel Lane to Lodi Lane completed jointly by the City of St. Helena and the Napa County Flood Control and Water Conservation District with Measure A funding. The individual elements of the project include floodplain terracing, shoreline restoration, a new levee, floodwall and bank stabilization, and storm-water management features including a detention basin and pumping facility. The project protects hundreds of homes and is projected to save millions of dollars in flood insurance claims.

- Portions of St. Helena's residential, commercial and winery industrial areas are located within or near the 100-year floodplain. Requiring infrastructure and drainage plans to minimize risk in these areas, in compliance with State and federal requirements, at a minimum, can promote the safety of residents and businesses. Moreover, restricting new development within the FEMA-designated floodplain and prohibiting development in the floodway can minimize additional flood hazards and the need for further mitigation measures.

Seismic and Geologic Activity

- St. Helena is located in a seismically-active region, with seismic activity primarily related to movements in the San Andreas Fault Zone (SAFZ). Although there are a number of active faults in the region, there are no known active faults in St. Helena.
- Local earthquake hazard mapping suggests that a magnitude 7.9 or greater earthquake on the San Andreas Fault, or a 6.5 magnitude event on the West Napa Fault, could result in strong shaking in the city. As a result, St. Helena's susceptibility to liquefaction ranges from low in the upland areas west of downtown, to very high along the Napa River. United States Geological Survey (USGS) maps indicate that slope stability and landslide issues exist in St. Helena's upland areas, and a major earthquake event could result in significant debris flow. As noted previously, the recent August 2014 earthquake had a magnitude of 6.0, which resulted in no measurable soil liquefaction within the City of St. Helena.
- By limiting the type and scale of new development in hillside areas, or areas subject to liquefaction, the City can limit the potential for property damage and loss of life as a result of major seismic activity. In addition, complying with the Universal Building Code (UBC) and adopting other standards for building safety along with emergency response disaster planning will help minimize the impacts of seismic and geologic disasters.

Air Pollution and Hazardous Materials

- The greatest source of greenhouse gas emissions in the City of St. Helena is the Transportation sector, which comprises 59 percent of total emissions according to a 2018 inventory compiled for the General Plan update. The transportation sector is also the largest generator of air pollution emissions

in the County, with mobile sources – automobiles and trucks – providing the greatest level of emissions. A 2007 Bay Area Air Quality Management District (BAAQMD) GHG inventory indicated that approximately 56 percent of GHG emissions in Napa County resulted from mobile source emissions. Mobile emissions are a significant source of other pollutants, as well, including carbon monoxide and particulate matter.

- The development of a Climate Change Element for the St. Helena General Plan is an important step forward in contributing to the effort to improve regional and local air quality. Napa County's Communitywide Climate Action Plan and the Climate Change Element provide a strategic policy framework to reduce greenhouse gas emissions and reduce air pollution derived from its multiple sources.
- CalEnviroScreen have shown that people living in agricultural areas of California have higher amounts of pesticides in their bodies than other people, which can result in adverse health outcomes. Based on data compiled by the Office of Environmental Health Hazard Assessment (OEHHA), census tracts in St. Helena are in the top quartile in terms of pounds of pesticide per square mile in the state for the years 2012-2014. The Napa County Agricultural Commissioner is responsible for ensuring the safe use of pesticides in all settings in the county. The County runs a Pesticide Use Enforcement program to educate pesticide users of their legal responsibilities and conduct inspections and investigations to ensure the safety of workers, the public, and the environment. Compliance and enforcement activities are complemented with extensive training and outreach to help growers and employees ensure safe handling and use of pesticides.

Noise

- The primary source of noise in the community stems from motor vehicle traffic and commercial activity, particularly in areas near major roads, such as State Route 29. Mitigating traffic noise can be difficult, particularly the noise generated along State Route 29 throughout the day and night. However, the City can adopt noise standards to address more infrequent noise sources, such as those related to off-hours delivery, and commercial loading and unloading.
- While there are few industrial noise sources in St. Helena, passing trains and aircraft generate intrusive noise periodically in the community.

- Agricultural operations generate noise on a seasonal basis; however, local right-to-farm policies limit the City's power to regulate noise impacts. Encouraging the regular communication of planned agricultural activities to surrounding residents can help address potential conflicts relating to noise compatibility. In addition, adopting noise compatibility standards for sensitive land uses can help to minimize the impacts of intrusive noise sources.

Fire and Emergency Response

- St. Helena's paid per call fire department, supported by two permanent staff members (hired in Summer 2018), provides fire protection services for wildland and structural fires within the city limits and in unincorporated areas of Napa County. Although service levels within the city are generally adequate, the heavily-wooded and frequently dry hillside areas could create significant challenges for firefighters.
- By limiting the type and scale of new development in hillside areas, and requiring sufficient road widths and turning radii to accommodate emergency response vehicles, the City can limit the potential for property damage and loss of life due to fires.
- Traffic congestion can adversely impact emergency response time in St. Helena, particularly when emergency vehicles must cross State Route 29. The City can work with emergency response providers to create solutions that address traffic-related emergency response challenges.

Emergency response is an important part of protecting residents and businesses.

9.4 Goals

The goals of the Public Health, Safety and Noise Element are:

Maintain High Levels of Public Health and Safety.
St. Helena is committed to maintaining high standards of public health and safety through anticipation of and preparation for potential natural and human-caused hazards.

Effectively Coordinate Responses to Emergencies and Natural Disasters.
St. Helena is dedicated to protecting residents, businesses, and the environment through efficient local emergency response efforts, public education, and effective coordination with regional, State, and federal agencies.

Policies and actions are set to protect the community against flood hazards.

9.5 Policies and Implementing Actions

A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. Air Quality;
2. Noise;
3. Seismic and Geologic Hazards;
4. Fire and Hazardous Materials;
5. Flood Hazards; and
6. Disaster Planning.

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together, they serve as strategic directions for City staff and partners, highlighting where time and resources should be focused.

topic area
1 AIR QUALITY

Policies

PS1.1 Achieve and maintain clean, healthy air for the residents of St. Helena to preserve environmental quality and community health.

PS1.2 Support regional efforts to achieve and maintain state ambient concentration standards to protect public health, reduce adverse industrial plant effects, and enhance the visual environment. In particular, provide local support for implementation of policies and measures set forth in the Napa County Congestion Management Program.

PS1.3 Encourage effective regulation of those sources of air pollution, both inside and outside of St. Helena, which affect air quality, by implementing as many of the recommendations of the Napa County Congestion Management Plan as is feasible.

PS1.4 Promote an optimized land use development pattern that minimizes cumulative air quality impacts from proposed developments.

topic area
1 AIR QUALITY

Implementing Actions

PS1.A Minimize local adverse air quality impacts related to construction by requiring dust abatement procedures for local projects.

PS1.B Mandate the use of EPA-approved wood stoves or fireplace inserts, rather than fireplaces, as a means of reducing emissions into the air.

PS1.C Review project proposals for their potential to generate hazardous air pollutants.

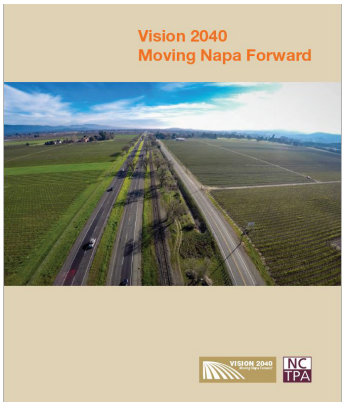
PS1.D Develop guidelines for locating new sensitive uses, including residences, schools, and childcare facilities, away from air pollutant sources. The guidelines can include measures to mitigate air emissions from existing sources, as well as to design buildings to prevent exposure.

PS1.E Encourage and support regional efforts to use alternative modes of transportation.

PS1.F Consider a citywide network to help commuters arrange carpools, including online coordination capabilities and designated areas for parking and pick-up.

PS1.G Adopt the thresholds of significance contained in the Bay Area Air Quality Management District's (BAAQMD) Guidelines for Assessing the Impacts of Projects and Plans for determining the significance of project impacts under the California Environmental Quality Act.

PS1.H Continue to implement an ordinance to restrict exposure to environmental tobacco smoke in new and existing multi-unit dwellings, public events, and outdoor areas, such as parks and playgrounds.



Air quality can be improved by implementing the Napa County Congestion Management Plan.

topic area
1 AIR QUALITY

PS1.I Adopt a voluntary, employer-based transportation demand management (TDM) program for St. Helena businesses in compliance with the BAAQMD's 2017 Clean Air Plan (CAP). Components of a TDM program should include measures to reduce the use of single-occupancy vehicles for work-related commuting, such as carpool/vanpool matching services and employer-sponsored transit passes.

PS1.J The potential for sources of odors that includes restaurants, auto body shops, or waste treatment facilities shall be considered when evaluating proposed residential projects and projects with sensitive recipients.

topic area
2 NOISE

Policies

PS2.1 Preserve the current low levels of noise in St. Helena to maintain the City's rural atmosphere.

PS2.2 Maintain a citywide environment that balances various City objectives while minimizing the impact of highway, railroad, and industrial noise. The City should manage both indoor and outdoor noise levels to protect health and safety. A combination of noise standards and existing noise levels should be used to determine impacts and mitigation measures.

PS2.3 Minimize potential noise impact conflicts between land uses by regulating incompatible land uses. Encourage noise-generating uses to reduce their impacts while promoting land use patterns that avoid conflicts. Employ compatibility guidelines, interior noise level criteria, the City's noise standards, and noise contour maps to determine the compatibility of land uses.

PS2.4 Require a reduction and/or control of the use of machinery, mechanical systems and other noise-making equipment and sources in and near residential areas where the noise impacts would be considered intrusive to adjacent residential property, unless consistent with the right-to-farm.

PS2.5 An increase in average noise levels of 5 dBA or greater is considered to be significant and to constitute a noise impact by the noise source in question for the purpose of environmental analyses.

Implementing Actions

PS2.A Consider the environmental impact of transportation-related noise and other noise sources in the review of any new projects and approval of subdivision plans and requests for changes in the zoning ordinance.

PS2.B Enforce the Land Use Compatibility Standards presented in the State of California's General Plan guidelines when siting new uses. These standards identify the acceptability of a project based on levels of noise exposure.

PS2.C Adopt and enforce Title 24 Standards for all types of new residential construction, including single family dwellings, duplexes, apartments, and dormitories.

- An interior maximum noise level of LAdn-45 dBA in all habitable rooms for all dwelling units;
- A maximum allowable interior noise level for bedrooms of an hourly LAeq-35 dBA;
- A maximum noise level of LAdn-60 dBA for residential exterior activity areas;
- If interior noise standards are met by requiring windows to be closed, cooling and outside air exchange must also be provided in the building's design.

PS2.D Require an acoustical study, prepared by a qualified acoustical consultant for:

- All proposed projects that are likely to be exposed to noise levels greater than the standards;
- All proposed projects that would generate noise where impacts on other uses would be greater than the standards;
- Any project exposed to outdoor noise at or above a day-night average sound level (Ldn) of 60 or for any noise source that could create such outdoor noise levels for adjacent uses; and
- Any project exposed to or that creates noise which may exceed the adopted City standards.

PS2.E Require new developments to implement noise mitigation measures when built in close proximity to noise sources, such as State Route 29 and the

Noise can be mitigated by minimizing conflicts between land uses by regulating incompatible land uses.

railroad tracks. These developments should consider the exterior and interior noise environment.

PS2.F Require construction operations to use noise suppression devices and techniques and limit noisy construction activities that can be heard at the property line to the least noise-sensitive times, as per the City's noise ordinance.

PS2.G Include appropriate noise attenuation techniques in the design of all new arterial streets. Such techniques could include the use of site planning, building orientation, buffer distances, quiet pavement surfaces, and the use of correctly-engineered acoustical barriers and berms where necessary. Adopt the noise standard for intrusive noise at residences given in Table 9.4.

PS2.H Amend the City's noise ordinance to regulate intrusive noise sources, such as the use of machinery and equipment, landscaping and property maintenance devices, animals, and idling buses or trucks in or near uses sensitive to noise.

PS2.I Incorporate right-to-farm legal provisions relative to noise in all newly-created deeds where agricultural activities may pose noise impacts in the future. Require similar language in deeds for properties similarly impacted by the Harold Smith & Son gravel plant operations.

topic area
3 SEISMIC AND GEOLOGIC HAZARDS

Policies

PS3.1 Minimize risk of injury, loss of life and property damage from seismically-induced and other known geologic hazards.

PS3.2 Restrict the intensity of development and the level of landform alteration in the hillside areas in order to minimize the potential for slope failure.

PS3.3 The required soils and geologic reports for new development shall include geotechnical analysis for construction in areas with potential geological hazards and/or for purposes of environmental analysis. The analysis shall investigate all potential geo-hazard issues for the site where there is substantial evidence of a potential risk.

PS3.4 Geologic reports for new development shall describe hazards and include mitigation measures to reduce risks to acceptable levels. Where appropriate, an engineer's or geologist's certification shall be required stating that risks have been mitigated to an acceptable level.

topic area
3 SEISMIC AND GEOLOGIC HAZARDS

Implementing Actions

PS3.A Require a soils and geologic report to be submitted for new construction prior to the issuance of grading and building permits and the submission of final maps.

PS3.B Prohibit any development—including any land alteration, grading for roads, and structural development—in areas of slope instability or other geologic concerns until mitigating measures are taken to limit potential damage to levels of acceptable risk.

PS3.C Require prompt re-vegetation of development areas on slopes prone to instability. Use native and drought-tolerant plant species for landscaping on slopes where excess watering might induce landslides and/or erosion.

PS3.D The City shall rely upon the most current and comprehensive geological hazard mapping available in the evaluation of potential seismic hazards associated with proposed new development.

PS3.E All development and construction proposals shall be reviewed by the City to ensure conformance to applicable building standards. Recommendations of the geotechnical analysis shall be implemented.

topic area
4 FIRE AND HAZARDOUS MATERIALS

Policies

PS4.1 Use the Zoning Code to define a transitional zone around industrial areas to protect the health and safety of residential neighborhoods.

PS4.2 Limit development in areas of High and Very High wildfire hazard as defined and mapped by the California Department of Forestry and Fire Prevention (CalFire) in order to prevent the loss of lives, injuries, and property damage due to wildfires.

PS4.3 Protect St. Helena residents from health and safety impacts related to the use, storage, manufacture, and transport of hazardous materials.

PS4.4 Discourage new uses that rely extensively on the use of hazardous materials.

PS4.5 Facilitate communication and education about fire safety, non-point source pollution, household hazardous waste disposal, and recycling opportunities.

PS4.6 Ensure that all streets and roads are adequate in terms of width, turning radius, and grade in order to facilitate access by City firefighting apparatus, and to provide alternative emergency routes of ingress and egress.

The transitional zone around industrial areas protects the health and safety of residential neighborhoods.

topic area
4 FIRE AND HAZARDOUS MATERIALS

Implementing Actions

PS4.A Designate areas in St. Helena that are prone to fire hazards and make this information available to the community.

PS4.B Continue to require implementation of best practices in fire resistance for all new and remodeled structures in fire-prone areas, including fire fuel removal, creation of defensible space for firefighters, construction with fire-resistant building materials, and installation of automatic sprinkler systems. Study the need to designate a Wildland-Urban Interface Fire Area within St. Helena to provide protection in additional areas.

PS4.C Require all structures in high wildfire hazard areas to maintain a clearance of flammable vegetation away from structures and to use fire-resistant ground covers. The minimum clearance distance should be 30 feet.

PS4.D Require all new development to meet the minimum fire flow rates specified by the City's Fire Code.

PS4.E Require all new development plans to be approved by the Fire Department prior to the issuance of building permits, grading permits, or final map approval.

PS4.F Develop a program to inform and educate the community about potential risks, resources, and roles and responsibilities for addressing fire safety in St. Helena. Inform residents of homes adjacent to public lands of their responsibility to provide fire breaks adjacent to their homes.

topic area
4 FIRE AND HAZARDOUS MATERIALS

PS4.G Review all new development proposals for their potential to introduce the production, use, storage, and/or transport of hazardous materials, and require reasonable controls on such materials.

PS4.H Develop a Hazardous Materials Response Plan that includes guidelines, protocols, and strategies to respond to a local hazardous materials spill.

PS4.I Continue to require compliance with federal, State, and local regulations for the safe production, transport, handling, use, and disposal of hazardous materials that may cause air, water, or soil contamination. Require buffers for operations which handle substantial amounts of hazardous materials. When siting new facilities or expanding existing facilities, require buffer zones between hazardous materials facilities and residential uses, parkland, trails, and open space facilities.

PS4.J Develop and launch a citywide education campaign to encourage the use of green products in order to reduce non-point source pollution. Target efforts towards the reduction of household chemical use and hazardous waste disposal.

PS4.K Require environmental assessments during the planning for development in areas previously used for agricultural, commercial, or industrial uses. Remediation of identified contamination that may result in health risks to construction workers and future owners and users shall be required prior to approval of construction, demolition, and grading permits for development.

PS4.L Work with the Napa County Agricultural Commissioner and other responsible agencies to identify and enforce mechanisms to control residual pesticides and pesticide runoff to prevent significant risk to water quality, vegetation, wildlife, and humans.

PS4.F Develop a program to inform and educate the community about potential risks, resources, and roles and responsibilities for addressing fire safety in St.

topic area
4 FIRE AND HAZARDOUS MATERIALS

Helena. Inform residents of homes adjacent to public lands of their responsibility to provide fire breaks adjacent to their homes.

PS4.G Review all new development proposals for their potential to introduce the production, use, storage and/or transport of hazardous materials, and require reasonable controls on such materials.

PS4.H Develop a Hazardous Materials Response Plan that includes guidelines, protocols, and strategies to respond to a local hazardous materials spill.

PS4.I Strengthen regulations for the safe production, transport, handling, use and disposal of hazardous materials that may cause air, water, or soil contamination. Require buffers for operations which handle substantial amounts of hazardous materials. When siting new facilities or expanding existing facilities, require buffer zones between hazardous materials facilities and residential uses, parkland, trails, and open space facilities.

PS4.J Develop and launch a citywide education campaign to encourage the use of green products in order to reduce non-point source pollution. Target efforts towards the reduction of household chemical use and hazardous waste disposal.

topic area
5 FLOOD HAZARDS

Policies

PS5.1 Minimize the risk to people, property and the environment caused by flooding hazards. Site new development to minimize potential damage from a 100-year flood. Continue to require that any new development is constructed FEMA standards. Prohibit the siting of uses within Flood Hazard Areas inconsistent with FEMA standards that could result in health and safety hazards, including those due to the release of chemicals or other substances as a result of inundation or erosion. Ensure that any new flood protection projects comply with federal and State standards.

PS5.2 Ensure that new development or existing lots of record within the 100-year floodplain are properly graded, sited, and constructed to mitigate flood effects and do not cause increases or expansion of the flood area that increase flood risk.

PS5.3 Within the 100-year floodplain, encourage open space uses, such as parks or natural areas.

PS5.4 Ensure that construction of flood barriers does not adversely affect natural floodplains, stream channels and natural barriers that help accommodate or channel flood waters.

PS5.5 Prohibit new development within areas designated as Floodway in the current FEMA Flood Insurance Study (FIS) and Flood Insurance Rate Map (FIRM). (*Also see the Public Facilities and Services Element, Topic Area 3*)

PS5.6 Coordinate with the Napa County Flood Control and Water Conservation District and other responsible agencies to maintain protocols and funding for the regular inspection and maintenance of flood control facilities in the city, including levees, floodwalls, floodplain terracing, stormwater detention ponds, and pumping facilities.

topic area
5 FLOOD HAZARDS

PS5.7 Require that development within Special Flood Hazard Areas prepare and implement infrastructure and drainage plans compliant with State and federal requirements in order to minimize risk in these areas.

PS5.8 Locate new essential public facilities outside of Special Flood Hazard Areas, including hospitals and health care facilities, emergency shelters, fire stations, emergency command centers, and emergency communications facilities. *(Also see the Public Facilities and Services Element, Topic Area 3)*

Implementing Actions

PS5.A Coordinate with the Napa County Flood Control District to ensure that stream channels are routinely cleared of vegetation and debris which could impede stormwater flows, while protecting riparian habitat.

PS5.B Require developers with land adjacent to the Napa River to construct or contribute a fair share toward the construction of necessary flood control improvements.

Coordination with the County Flood Control District will ensure that stream channels are routinely cleared of vegetation and debris.

PS5.C Strengthen and enforce regulations that prohibit the dumping of litter, fill, and waste materials into creeks and waterways. Educate the public about flooding and health hazards associated with these activities.

PS5.D Require that sewer and water lines in areas subject to flooding are sited to avoid contamination and flooding when pipelines break.

PS5.E Prohibit the introduction of urban development in FEMA-designated Floodway zones.

topic area
5 FLOOD HAZARDS

PS5.F Review Municipal Code Chapter 15.52, Flood Damage Prevention, to ensure that regulations reflect best practices. Periodically update the City's flood hazard regulations in accordance with FEMA/NFIP regulations.

PS5.G Implement the requirements of FEMA relating to construction in Special Flood Hazards Areas as illustrated on Flood Insurance Rate Maps.

PS5.H Implement low impact development practices for new development and redevelopment projects to reduce stormwater peak flow rates and volumes from smaller, more frequently occuring storm events.

topic area
6 DISASTER PLANNING

Policies

PS6.1 Ensure that City emergency procedures are adequate in the event of potential natural or man-made disasters.

Implementing Actions

PS6.A Maintain and periodically update the City's Emergency Response Plan.

PS6.B Conduct periodic emergency response exercises to test the effectiveness of City emergency response procedures.

PS6.C Continue to collaborate with regional agencies and neighboring jurisdictions to develop and implement a regional emergency coordination plan and agreement for police, fire, and emergency medical services.

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chapter ten

climate change

10 climate change

Community farmers markets provide opportunities to purchase locally-grown foods close to home, reducing the miles food travels to the table.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety, and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture, and entertainment

10.1 Purpose of the Element

The Climate Change Element presents a framework to help the City respond to and plan for climate change. It aims to effectively address energy and water conservation, renewable energy production, transportation, sustainable business development, and the responsible evolution of the City to reduce climate change impacts in St. Helena. The policies and actions included in this element seek to chart a course that meets St. Helena's specific needs, aligning with the Napa Countywide Community Climate Action Plan Framework, which St. Helena participated in developing. The Climate Change Element includes the following sections:

The Climate Change Element:

- **10.2 Combating Climate Change in St. Helena.** Describes key climate change issues in St. Helena (p. 10-3).
- **10.3 Key Findings.** Identifies key findings based on an existing conditions analysis and extensive community outreach (p. 10-8).
- **10.4 Goals.** Defines overarching goals to guide policies and implementing actions (p. 10-11).

- **10.5 Policies and Implementing Actions.** Identifies policies and implementing actions to accomplish St. Helena's climate change objectives (p. 10-13).

10.2 Combating Climate Change in St. Helena

Climate change refers to a change in the average global climate that may be measured by wind patterns, storms, precipitation, and temperature. The term climate change is often used interchangeably with the term global warming. Global warming refers to an average increase in the temperature of the atmosphere near the Earth's surface, which can contribute to changes in global climate patterns. However, rising temperatures are just one aspect of climate change.

Greenhouse gases (GHGs) are gases that trap heat in the atmosphere and regulate the earth's temperature. This effect, known as the Greenhouse Effect, is responsible for maintaining a habitable climate. GHGs are released into the earth's atmosphere through a variety of natural processes and human activities. The current period of global warming is widely attributed to a buildup of GHG emissions from human-made sources that have proliferated and accelerated since the age of industrialization. Many scientists project that global temperatures will likely continue to increase in the future, raising broad concern about the effects of temperature change on the Earth's climate. Potential risks include rising sea levels, changing precipitation patterns, expanding desertification, and increasing GHG emissions.

Although debate continues about how the United States should engage in the global climate change discussion, many state and local governments have adopted policies to address climate change concerns. By adopting this Climate Change Element, St. Helena can take steps to forward the global climate change agenda at the local level. Moreover, as climactic conditions shift in the coming decades – potentially requiring policy responses unknown today – St. Helena will be in a position to adapt to and accommodate new federal, State, and regional planning requirements as they arise.

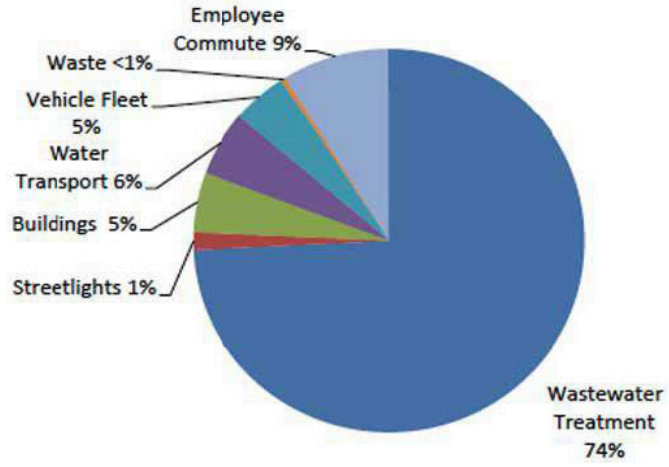
Canopies of urban street trees create shade and help enhance quality of life while mitigating the impact of the built environment on natural systems.

10 climate change

Innovative systems can capture and reuse rainwater and make use of rooftop spaces for agriculture or plantings.

St. Helena joined the International Council for Local Environmental Initiatives (ICLEI) in 2008. In coordination with ICLEI and the Climate Protection Campaign, the City developed the 2009 City of St. Helena Greenhouse Gas Emissions Reduction Action Plan Analysis Final Report. In 2012, the City completed a GHG emissions inventory of City-controlled operations and activities. Available data indicate that in 2010, the City of St. Helena municipal operations emitted 3,506 metric tons of equivalent carbon dioxide (CO2e). Municipal GHG emissions varied by end-use sector, with water and wastewater operations and employee commutes generating the largest proportions of total emissions. The remainder of the City's GHG emissions included City buildings, vehicle fleet, streetlights, water transport facilities, and government-generated solid waste disposal.

Figure 10.1 Government Operations Emissions by Sector, 2010



In addition to the 2005 and 2010 municipal inventories, ICLEI developed 2005 and 2010 community GHG inventories for the City of St. Helena. A community inventory accounts for emissions from all emissions sources, not just from those sources under direct municipal control. According to ICLEI's modeling, St. Helena produced 43,831 metric tons of CO2e in 2005 and 44,008 metric tons of CO2e in 2010. In 2005, the largest sources of emissions were the

commercial/industrial sector (38 percent), residential (25 percent), and on-road transportation (22 percent). In 2010, commercial/industrial emissions remained the largest contributor of GHGs in St. Helena (35 percent), followed by on-road transportation (29 percent), and residential (25 percent) (ICLEI, 2012). Emissions were reduced in all sectors except the transportation sector, which increased 36 percent.

For the General Plan Update, an updated community GHG emissions inventory was compiled for the City of St. Helena using best available data and modeled for a baseline year of 2018. The inventory found that St. Helena's baseline emissions totaled 76,012 MTCO2e. As shown in Table 10.1: 2018 GHG Emissions Summary by Sector (MTCO2e), the transportation sector was responsible for the largest source of emissions, generating 44,531 MTCO2e (59 percent). Electricity and natural gas use from the commercial/industrial sector was the second largest source of emissions, generating approximately 12,773 MTCO2e (17 percent). Electricity and natural gas consumption within the residential sector was the third largest source of emissions, generating 9,890 MTCO2e (13 percent).

In 2012, the City adopted a GHG reduction target of 20 percent below 2005 levels by the year 2020. This target is consistent with the State's goal to reduce California emissions to 1990 levels by the year 2020. In recent years, the State has also set a reduction

TABLE 10.1: 2018 GHG Emissions Summary by Sector (MTCO2e)

Sector	Annual GHG Emissions (MTCO2e)	Percent of Total
Residential	9,890	13%
Commercial/Industrial	12,773	16.8%
Transportation	44,531	58.6%
Solid Waste	3,734	4.9%
Water Transport, Distribution, and Treatment	138	0.2%
Wastewater	181	0.2%
Off-Road Equipment	4,631	6.1%
Public Lighting	37	>0.1%
Agriculture	97	0.1%
TOTAL	76,012	100%

Source: Dyett & Bhatia, 2017.

CONCEPTS, TRENDS, AND IDEAS

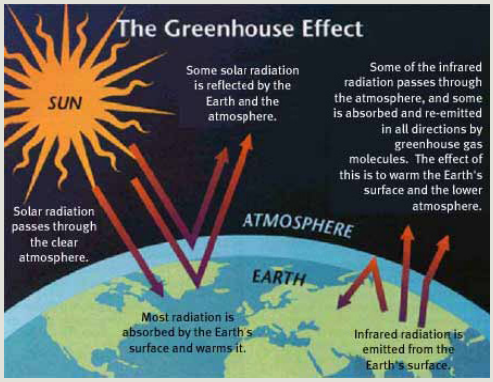
Planning Regionally as a Solution to Climate Change

The single-largest source of greenhouse gases in California is emissions from passenger vehicles. This means that in order to reduce greenhouse gas emissions and reduce our contribution to climate change, California must revisit existing policies and the way communities are designed in order to reduce the number of vehicle miles traveled by the State's residents, therefore reducing vehicle emissions.

In 2006, the Governor signed The Global Warming Solutions Act into law to do just that. Often referred to as Assembly Bill 32 (AB 32), the Global Warming Solutions Act requires the State of California to reduce greenhouse gas emissions (GHG) to 1990 levels no later than 2020. In recent years, the State has also set a reduction goal of reducing GHG emissions to 80 percent below 1990 levels by 2050 (Executive Order S-3-05) and an interim target of 40 percent below 1990 levels by 2030 (Executive Order B-30-15). Additionally, the California Air Resources Board (CARB) Scoping Plan, adopted in 2017, establishes per capita GHG emissions targets of 4.0 metric tons of CO2e per capita by 2030 and 2.0 metric tons of CO2e per capita by 2050. These per capita targets are consistent with statewide reduction goals.

SB 375 takes AB 32 to the next step by requiring California's regional land use and transportation authorities to work with local agencies to achieve more compact growth patterns, thereby reducing the quantity of greenhouse gases emitted by passenger vehicles.

Although many Californians can picture the long-term dire consequences of climate change, there are also many near-term dangers to the state's wetlands as changing weather patterns affect wildlife habitats and life cycles.



The greenhouse effect has been studied for many years, but California is the first state in the nation to take specific action to combat the effects of greenhouse gas emissions.

SB 375 has five key features:

1. It mandates that regional planning agencies establish regional targets for reducing greenhouse gas emissions tied to land use, and therefore driving patterns.

2. It requires that regional planning agencies create a plan to meet those targets.

3. SB 375 requires that regional transportation funding decisions be consistent with this new plan.

4. It integrates regional transportation planning and housing allocation efforts for the first time.

5. It establishes new California Environmental Quality Act (CEQA) exemptions and streamlining for development projects that conform to the new regional plans.

The Sustainable Communities Strategy

SB 375 requires the California Air Resources Board (CARB) to establish GHG emission reduction targets related to transportation for each Metropolitan Transportation Organization (MTC) region by September 30, 2010. The Metropolitan Transportation Commission (MTC) is the designated MPO for Napa County and the greater Bay Area region.

Under SB 375, each MPO must then add a new element to its long-range Regional Transportation Plan (RTP) called a "Sustainable Communities Strategy," or SCS. The SCS seeks to achieve the targeted reductions in greenhouse gas emissions if there is a feasible way to do so, planning for compact growth and matching transportation improvements.

goal of reducing GHG emissions to 80 percent below 1990 levels by 2050 (Executive Order S-3-05) and an interim target of 40 percent below 1990 levels by 2030 (Executive Order B-30-15). Additionally, the California Air Resources Board (CARB) Scoping Plan, adopted in 2017, establishes per capita GHG emissions targets of 4.0 metric tons of CO2e per capita by 2030 and 2.0 metric tons of CO2e per capita by 2050. These per capita targets are consistent with statewide reduction goals.

Through Assembly Bill 32 and other legislation, the State is implementing measures that will reduce emissions by improving fuel efficiency in vehicles, reducing the carbon intensity of transportation fuels, increasing the use of renewable power, and other actions. However, local action is also needed to complement actions at the State level and ensure St. Helena meets its reduction target.

Targeting climate change policies to reduce vehicle miles traveled on local roads is essential to achieving the City's long-term GHG reduction goals. Moreover, strengthening policies to improve commercial and residential building efficiency, conserve energy, and eliminate organic waste from landfills can reduce community emissions. Within government operations, improving building efficiency, utilizing renewable energy, and replacing vehicles with more fuel-efficient models can significantly reduce GHG emissions.

In 2009, St. Helena joined with other Napa County jurisdictions to prepare the Napa Countywide Community Climate Action Framework. The Framework, adopted by the Napa Valley Transportation Authority (NVTA) in 2010, provides a consensus-based context for further planning efforts by the individual cities and towns. It outlines a suite of actions that, when translated into locally specific programs and projects countywide, will help meet climate protection targets. Many of the implementing actions contained in this Climate Change Element are based on the actions identified in the Framework.

Green jobs programs can help to build local capacity for solar installations and other energy saving strategies for homeowners.

10.3 Key Findings

There are several challenges and opportunities facing St. Helena related to climate change. The following key findings are based upon comprehensive existing conditions analysis and community input.

- St. Helena is currently implementing a program to reduce GHG emissions from City facilities based on findings in the City of St. Helena Greenhouse Gas Emissions Reduction Action Plan Analysis (Final Report April 22, 2009).
- The City of St. Helena municipal operations emitted 3,506 metric tons of CO2e during the year 2010. Water and wastewater operations and employee commutes generated the largest proportions of total emissions 74 percent and 9 percent, respectively). Water transport facilities accounted for 6 percent of emissions, followed by City buildings (5 percent street lights (1 percent) and government-generated waste (less than 1 percent). By implementing measures for future action relating to building and equipment energy efficiency, fuel efficiency, alternative fuel options, and alternative energy generation, the City can make strides to meet its GHG reduction goals and be a model for other businesses and institutions seeking to reduce long-term emissions levels.

10 climate change

Innovative landscaping like rain gardens can beautify impermeable surfaces like parking lots while addresswater runoff concerns.

- The City participated in the development of the Napa Countywide Community Climate Action Framework, which contains 53 consensus-based actions intended to guide the participating jurisdictions in meeting GHG reduction goals. The collaborative process was managed by the Napa County Transportation and Planning Agency. A 2006 Bay Area Air Quality Management District (BAAQMD) report indicated that approximately 55 percent of GHG emissions in Napa County resulted from mobile source emissions. Effective land use planning that reduces vehicle miles traveled and promotes alternate modes of transportation is essential to mitigating climate change. By focusing on improving bicycle and pedestrian connections across the City and reducing commute and truck trips, St. Helena can address auto-related emissions levels at both the local and regional levels.
- St. Helena's estimated 2018 baseline community-wide GHG emissions totaled 76,012 metric tons CO2e, and emissions were 13.0 MTCO2e per capita for the residential population and 6.7 MTCO2e per service population. Transportation emissions make up a significant portion of St. Helena's emissions (59 percent), with commercial/industrial energy use in second place (17 percent), and residential energy use in third (13 percent). Commercial/industrial and residential emissions have decreased since 2010. Transportation emissions appear to have significantly increased since 2010, however, this is due to a change in the methodology in accounting for VMT within the GHG inventory to be consistent with best practices and protocols.
- Over half of community-wide emissions in St. Helena result from on-road vehicles. Effective land use planning that reduces VMT and promotes alternate modes of transportation is essential to mitigating climate change. By focusing on improving bicycle and pedestrian connections across the city and reducing commute and truck trips, St. Helena can address auto-related emissions levels at both the local and regional levels.
- Like other communities throughout California, St. Helena is vulnerable to water shortages in the event of prolonged period of drought that could be exacerbated by climate change. Fully integrating water resource conservation policies and implementation measures into the City's Climate Change Element is essential to ensuring that St. Helena will have adequate water supplies to meet its future needs.

Creating walkable streets and shopping districts can help to reduce dependence on automobiles as residents and visitors walk and bicycle more.

- A significant portion of St. Helena's economy relies on industry sectors that may be adversely affected by climate change, most importantly agriculture and tourism. By considering the water supply in future climate change scenarios and supporting measures to recycle and reuse water as much as possible in the near future, the City can begin to strengthen the viability of its industries, markets, and employment into the future.

10.4 Goals

The goals of the Climate Change Element are:

Increase Citywide Transportation-Related Energy Efficiency.

The City seeks to reduce demand for fossil fuels by decreasing VMT, improving transit options and the fuel efficiency of vehicles, supporting the use of renewable energy-powered vehicles, and creating a bicycle and pedestrian-friendly environment.

Reduce Energy Demand Through Improved Building and Design.
St. Helena is dedicated to reducing energy demand by promoting development and construction that improve resource conservation and efficiency, and to improving the energy supply by switching from fossil fuels to renewables.

Reduce Consumption and Divert Waste.
The City is committed to achieving waste diversion of 75 percent to 90 percent by year 2020.

Ensure the Sustainable Management of Agriculture, Natural Resources, and Urban Forests.

St. Helena is dedicated to protecting and increasing the amount of vegetation and biomass in local soils, reducing emissions from agricultural sources, encouraging responsible and sustainable agricultural and landscaping practices, and significantly reducing water use to protect local water resources.

Increase Community Engagement and Advocacy.
The City seeks to increase participation in GHG reduction efforts through marketing programs and community outreach. In addition, they are committed to engaging and advocating for collaborative policy and legislative solutions at the local, regional, state, federal, and global levels.

Improve the Efficiency of Local Government Operations.
St. Helena is dedicated to reducing fossil fuel consumption by local government operations, improving the energy efficiency and reduction of carbon emissions of City and County facilities and operations, and reducing solid waste attributable to City and County operations and facilities.

10.5 Policies and Implementing Actions

A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. Transportation and Mobility;
2. Buildings and Energy;
3. Consumption and Solid Waste;
4. Agriculture, Natural Resources, and Urban Forests;
5. Community Engagement; and
6. Local Government Operations.

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together they serve as strategic directions for City staff and partners, highlighting where time and resources should be focused. They reflect St. Helena's commitment to coordinating its climate change measures with countywide efforts to address climate change.

topic area
1 TRANSPORTATION AND MOBILITY

Policies

CC1.1 Promote a "walkable" and "bikeable" city.

CC1.2 Support transportation planning efforts to optimize fuel efficiency and reduce vehicle miles travelled on local roads.

CC1.3 Seek initiatives that provide efficient modes of transportation for visitors and residents.

TOP *California's rail system provides regional transit connections throughout the state.*

BOTTOM *Innovative solutions for parking lots can create self-sustaining spaces with less impact on the natural environment.*

Implementing Actions

CC1.A Adopt and implement pedestrian and bicycle networks within St. Helena that may connect to a countywide multi-use trail that extends from Calistoga to American Canyon.

CC1.B If feasible maintain and enhance existing express bus, local bus, and para-transit services. Provide shuttle service between the three upvalley towns. Support the establishment of a northbound express bus during peak commute hours. Ensure that these services provide opportunities to connect with existing and proposed countywide service improvements, including the transit center in Downtown Napa.

CC1.C Expand Park and Ride areas and other support facilities to encourage public transportation use and car and van pooling.

CC1.D Evaluate truck and freight rail routes through the city. Based on these findings, develop policies and strategies to improve circulation and neighborhood compatibility issues.

CC1.E Adopt and implement transportation plans in accordance with the Napa Valley Transportation Authority's (NVTA) Strategic Transportation Plan to increase transit service and ridership in St. Helena and connections with County transit services.

CC1.F Establish programs to reduce vehicle miles traveled by supporting local hiring, food production, farmers' markets, and community-based "buy local" campaigns. For General Plan purposes, "local" includes St. Helena and its residents, as well as the residents and areas of the surrounding towns and unincorporated County that have traditionally been served by St. Helena's commercial and retail services.

topic area
1 TRANSPORTATION AND MOBILITY

CC1.G Evaluate parking standards to help reduce vehicle miles traveled and reduce vehicle idling.

CC1.H Increase walkability and bikeability to encourage a reduction in local auto trips. Strengthen outreach to increase awareness of pedestrian and bicycle amenities throughout the city.

CC1.I Require discretionary development projects to assess and mitigate the impacts of vehicle miles traveled using transportation demand management programs, including providing transit amenities.

CC1.J Initiate programs that encourage car-free tourism through incentives, outreach, awareness, and creating a bicycle and pedestrian-friendly environment.

CC1.K Adopt and implement programs to assist businesses and organizations switch from fossil fuel-powered fleet vehicles to vehicles powered by clean, renewable energy sources.

CC1.L Develop parks and open spaces in support of efforts to create walkable, bikeable mixed-use neighborhoods, especially to complement higher-density development and connect lower-density areas.

CC1.M Design and operate the public street system to optimize fuel efficiency. Consider fuel efficiency in the design of street extensions, connections, and right-of-way controls at intersections, and monitor and adjust traffic signals.

Policies

CC2.1 Encourage measures to reduce energy demand through conservation and efficiency.

CC2.2 Support local efforts to improve the energy supply by switching from fossil fuels to renewables.

Transit agencies in some parts of the state are building their fleets with buses that use natural gas and other alternative fuel sources.

Implementing Actions

CC2.A Partner with the County of Napa to implement an AB811 program that makes funding available to residential and commercial property owners seeking to improve their properties to conserve energy and water, and to generate solar energy.

CC2.B Pursue state and federal funding programs designed to reduce energy demand through conservation and efficiency.

CC2.C Implement Title 24 energy conservation standards for new buildings, and other State building code standards for high performance "green" buildings. Utilize established green building standards, such as Leadership in Energy and Environmental Design (LEED) and Build it Green.

CC2.D Continue to reduce energy use by promoting domestic water conservation and requiring water-efficient landscape improvements associated with new construction.

CC2.E Reduce greenhouse gas emissions from buildings and energy use. Require or request that new development projects analyze greenhouse gas emissions due to energy use and incorporate energy and safe yield water conservation measures into projects.

topic area
2 BUILDINGS AND ENERGY

CC2.F In support of countywide energy generation efforts, increase local renewable energy generation. Adopt production standards for the City based on quantifiable measures that increase per capita generation levels.

CC2.G Remove regulatory impediments and economic disincentives associated with the generation and use of energy from renewable sources, such as wind, geothermal, and solar energy.

CC2.H Establish programs that encourage owners to retrofit existing structures to incorporate energy-efficient and "green" building standards.

(Also see the Community Design Element, Topic Area: 1)

New building technologies make it possible to reduce energy consumption and generate new energy using solar, wind, and water sources.

topic area
3 CONSUMPTION AND SOLID WASTE

Policies

CC3.1 Enhance recycling, composting, and source reduction services for residential and commercial uses to support Napa County's countywide waste reduction goal to achieve overall waste diversion of 75 percent to 90 percent by 2020.

(Also see the Public Facilities and Services Element, Topic Area: 4)

Implementing Actions

CC3.A Establish programs and create incentives to achieve a 75 to 90 percent citywide construction and demolition debris waste diversion level in support of Statewide goals.

CC3.B Establish programs and create incentives to achieve a 75 percent organic (food and green) waste diversion level in support of statewide goals.

CC3.C Establish citywide collection services for segregated food waste from commercial sources.

CC3.D Encourage home composting of organic waste.

CC3.E Create and support other programs, such as the Napa County Green Business Program and the green restaurant program, that help achieve the 75 to 90 percent overall waste diversion goal.

CC3.F Adopt environmentally-preferable purchasing measures and explore joint-purchasing agreements with partner agencies and businesses.

topic area
4 AGRICULTURE, NATURAL RESOURCES, AND URBAN FORESTS

Policies

CC4.1 Support efforts to protect and increase the amount of vegetation and biomass in soil and reduce emissions from agricultural sources.

CC4.2 Encourage responsible and sustainable agricultural and landscaping practices.

CC4.3 Strengthen water conservation measures that result in significant reductions in local water use and the protection of local water resources.

(Also see the Community Design Element, Topic Area: 1)

CC4.4 Support efforts to expand and improve the City's managed urban forest in order to reduce greenhouse gas emissions and improve overall air quality.

(Also see the Open Space and Conservation Element for additional policies and implementing actions relating to urban forests.)

CC4.5 Promote community gardens to reduce emissions generated in food transportation.

Wind turbines offer new opportunities for climate-friendly energy generation.

Implementing Actions

CC4.A Establish programs to support and encourage local agriculture, food production, and school and community gardens.

CC4.B Promote edible landscaping where possible.

CC4.C Establish programs and plans that create and enhance urban forests and greenways.

topic area
4 AGRICULTURE, NATURAL RESOURCES, AND URBAN FORESTS

CC4.D Assess the impact of land use changes, new vineyards, and urban development on carbon sequestration.

CC4.E Support efforts by local growers and restaurants to produce and use locally-grown food and remove associated regulatory hurdles.

CC4.F Revise ordinances to further protect habitat and mitigate the conversion of oak woodlands, natural resources, riparian habitat, and other important natural communities by permanently protecting similar habitats.

CC4.G Support and promote the Napa Green Certified Winery Program and the Napa Green Certified Land Program.

CC4.H Adopt landscape ordinances that promote drought resistant plants, and limit or restrict lawns and other high-water-demand plants unless irrigated with reclaimed or grey water systems.

CC4.I Develop and adopt energy-saving and environmentally-sound domestic water conservation plans.

CC4.J Establish an urban forestry program to ensure a coordinated and comprehensive approach to maintaining and increasing the City's trees especially native varietals when possible.

TOP *Local gardens help reduce the footprint of fruits and vegetables.*

BOTTOM *A boatload of trash illustrates how much waste enters natural ecosystems.*

topic area
5 COMMUNITY ENGAGEMENT

Policies

CC5.1 Support local efforts to market programs and conduct community outreach through schools, non-profit groups, community organizations, and the business community to increase participation in greenhouse gas (GHG) reduction efforts.

CC5.2 Engage and advocate for collaborative programs, policies, and legislative solutions at the regional, state, federal, and global levels to reduce global GHG emissions.

CC5.3 Expand local awareness about gardening, composting, and agriculture.

Incentives programs can help to encourage everything from green roofs to composting and recycling to reuse of materials.

Implementing Actions

CC5.A Partner with the St. Helena Unified School District, private schools, community-based non-profit organizations, and others to undertake public outreach and education efforts that broaden community involvement in reducing greenhouse gas emissions.

CC5.B Market and encourage participation in incentive programs that improve energy efficiency.

CC5.C Foster and build public-private partnerships that help achieve greater energy efficiency and reduce greenhouse gas emissions.

CC5.D Promote programs designed to advance sustainable business practices in St. Helena. Use the Napa County Green Business Program as a model for a City-based effort.

CC5.E Participate in and help develop effective regional, state, and federal solutions to reduce emissions.

topic area
5 COMMUNITY ENGAGEMENT

CC5.F Engage and assist local agencies and utility companies toward achieving greenhouse gas reduction targets.

CC5.G Enable long-term solutions by investing in and supporting science and engineering education.

CC5.H Support the United States' participation in international greenhouse gas reduction efforts.

CC5.I Establish an outreach program to raise public awareness about gardening, composting, and agriculture. Utilize public access television, the City's website, public notices, and workshops to engage a broad and diverse range of residents.

Farmers markets and community gardens provide residents with direct connections to the food supply.

topic area
6 LOCAL GOVERNMENT OPERATIONS

Policies

CC6.1 Ensure that the City leads by example in managing its local government operations while implementing the following policy directions:

- Encourage the reduction of fossil fuel consumption by local government operations.
- Improve energy efficiency, implement alternative and renewable energy solutions, and reduce greenhouse gas emissions in City and county facilities and operations.
- Reducing solid waste from City and County operations and facilities.

Implementing Actions

CC6.A Transition City fleets to vehicles powered by clean, renewable energy sources.

CC6.B Install electric vehicle charging stations with funding from state and federal sources.

CC6.C Encourage alternatives to agency employees' use of single-occupancy vehicles by providing bicycle racks, preferential parking permits for carpools and vanpools, commuter information, and other incentives.

CC6.D Conduct audits and regularly monitor the effectiveness of City and County energy efficiency implementation measures and adapt them to meet targets.

CC6.E Convert street lighting, water pumping, water treatment, and other energy-intensive operations to more efficient technologies.

Community programs can help engage both adults and children in learning about their environments and about the impact of greenhouse gas emissions on the climate.

topic area
6 LOCAL GOVERNMENT OPERATIONS

CC6.F Ensure that new municipal or substantially-renovated municipal facilities incorporate cost-effective strategies for reducing greenhouse gas emissions, conserving energy and water, and utilizing sustainable construction practices.

CC6.G Consider carbon emissions from the production, transportation, use, and disposal of goods as a criterion for City purchasing decisions.

CC6.H Establish a comprehensive, user-friendly recycling program that involves all City departments and facilities. Recover 70 to 85 percent of all waste generated in City operations.

CC6.I Install renewable energy systems at City facilities.

CC6.J Review and update the implementation actions recommended by the City's Climate Protection Task Force (CPTF) on an annual basis.

Collaboration between governmental entities, residents and community groups ensures that actions have significant impacts.

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chapter eleven

housing

The 2015 - 2023 Housing Element is a separate stand alone document, which consists of:

- Housing Element Update 2015-2023: Goals, Policies, and Eight-Year Action Plan
- Housing Element Update 2015-2023: Housing Needs Assessment

A copy is available on the City's website.

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chapter twelve

parks and recreation

12 parks and recreation

A comprehensive network of parks and open spaces brings many benefits to the St. Helena community.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture and entertainment

12.1 Purpose of the Element

The Parks and Recreation Element presents a framework for developing and maintaining a comprehensive system of quality parks, pedestrian and bicycle trails, recreational facilities and programs. It aims to effectively guide the City's parks and recreation programming and to support community members' health, entertainment and high quality of life. Key to these efforts is increasing the overall acreage of useable, publicly accessible park space in St. Helena, and creating and maintaining a network of bicycle and pedestrian trails that establishes connections from residential neighborhoods to parks, schools, and goods and services.

The Parks and Recreation Element includes the following sections.

- **12.2 Parks and Recreation Framework for St. Helena**. Summarizes key issues related to parks and recreation in St. Helena (p. 12-3).
- **12.3 Key Findings**. Identifies key findings based on an existing conditions analysis and extensive community outreach (p. 12-12).
- **12.4 Goals**. Defines overarching goals to guide policies and implementing actions (p. 12-14).

- **12.5 Policies and Implementing Actions**. Identifies policies and implementing actions to expand and maintain a comprehensive parks and recreation system (p. 12-15).

To supplement the policies and implementing actions included here, additional policies and actions associated with the provision of trails, the urban/agricultural interface, and the maintenance of open space for recreation can be found in the Open Space and Conservation Element.

The historic gazebo at Lyman Park is a favorite site for parties and events.

12.2 Parks and Recreation Framework for St. Helena

The St. Helena community has expressed the desire for a comprehensive and integrated system of parks and recreational facilities to meet residents' diverse recreational needs. The system can include parks, open spaces, and community facilities linked together along natural creek corridors and pedestrian-friendly streets. In addition, these parks and recreational resources can develop concurrently with pedestrian and bicycle improvements that link neighborhoods and connect the community to key destinations throughout the city. Figure 12.1 is a map that illustrates the array of parks and recreation facilities that currently exist in St. Helena. Together, these assets present opportunities to build the desired network of parks, open spaces, and recreational amenities for current and future residents.

12 parks and recreation

A comprehensive parks and recreation system includes parks, open spaces, and community facilities linked together.

NETWORK OF PARKS AND RECREATION AMENITIES

For St. Helena, a comprehensive parks and recreation system includes parks of various sizes, community gardens, community orchards, community and recreational facilities, accessible open space, a variety of natural features, and connectors such as paths, trails, and green streets. By enhancing these amenities and the connections that link all the components together, St. Helena can create a valuable resource system that helps to fulfill the desired characteristics that residents have identified for their community. These include equitable access to open space and community facilities, a strong connection to agriculture, environmental sustainability, and community livability.

PARK CLASSIFICATION SYSTEM

This General Plan establishes a parks classification system for St. Helena composed of three general park types: parklets/mini parks, neighborhood parks, and community parks (see Table 12.1).

- **Mini Parks / Parklets** – small, limited use sites generally less than 1 acre in size. They vary from small greens with open grass areas, children's playgrounds, or small picnic spaces, to small squares and plazas.
- **Neighborhood Parks** – mid-sized parks intended to serve nearby residents living within a ½-mile radius. They are primarily designed for informal, unsupervised recreational activities and typically feature facilities such as children's playgrounds, picnic areas, pathways, open grass areas for passive use, outdoor basketball courts, and non-lighted, multi-use ball fields. Neighborhood parks generally range from 4 to 10 acres in size.
- **Community Parks** – larger facilities intended to serve residents living within a 1- to 2-mile radius. They are generally more than 10 acres in size and designed with a sports field or similar facility that provides active and structured recreation opportunities as the central focus, although they can also provide opportunities for passive recreation. Community parks attract people from a wider geographic area than neighborhood or mini parks and require ancillary facilities such as parking, lighted sports fields, and restrooms. A community park can also function as a neighborhood park for nearby residential areas.

While the General Plan provides over-arching guidance for parks and recreational facilities in the community, a comprehensive parks master planning process will provide an opportunity to further delineate St. Helena's park types and performance standards, identify long-term goals for the community, describe current and future needs and community preferences, and prioritize parks and recreational facilities improvement needs.

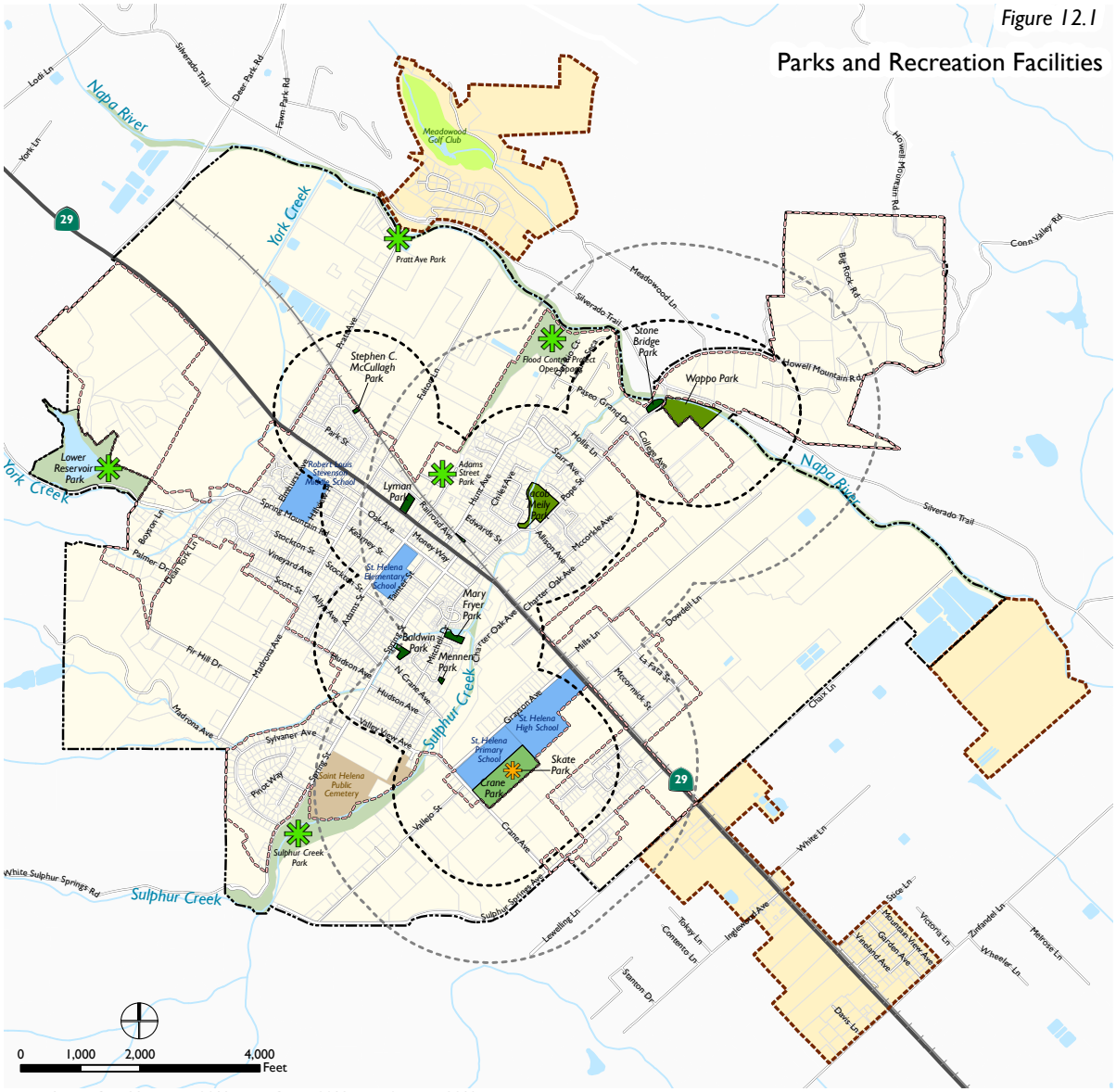
TABLE 12.1: St. Helena Parks by Park Category

Category	Park	Acres	Site Characteristics
Mini	Baldwin Park	0.76	Mowed grass; picnic tables; handicapped accessible from Voorhees Circle.
	Lewis Station	0.13	"Pocket Park" with picnic tables, benches, and restroom.
	Lyman Park	0.89	Picnic tables; grassy areas; children's play area; gazebo for events; one restroom.
	Mary Fryer Park	0.84	Picnic tables; play equipment designed for pre-school-aged children.
	Mennen Park	0.17	Nut and fruit trees, barbeque amenities, walking paths, grassy areas
	St. Helena Skate Park	0.41	Skatepark
	Stephen C. McCullagh Park	0.14	Sandbox, climbing rock and rope structures, benches, play area
	Stonebridge Park	0.75	Located on the Napa River; grassy areas with limited parking.
Neighborhood	Jacob Meily Park	5.42	Play field; heritage orchard, picnic area, children's playground, and restroom.
	Wappo Park	6.65	Trail and picnic facilities.
Community	Crane Park	11.27	Six lighted tennis courts; six lighted bocce courts; two Little League baseball fields; horseshoe pits; children's playground; two restrooms; picnic areas; Farmer's Market; and skate park.

Sources: City of St. Helena, 2018; Dyett & Bhatia, 2018.

Figure 12.1

Parks and Recreation Facilities



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

- Skate Park
- Potential new park site
- Parks Quarter Mile Service Radius
- Parks Half Mile Service Radius
- Mini Park
- Neighborhood Park
- Community Park
- Open Space
- Golf Course
- Public Schools
- Cemetery
- Urban Limit Line
- Study Areas
- City of St. Helena

CONCEPTS, TRENDS AND IDEAS

The Many Benefits of Parks and Recreation

In recent decades, cities and counties have paid greater attention to the many benefits of parks. Cities have adapted their marketing strategies to focus less on the defining physical features of parks and more on how parks benefit the entire community. The Benefits Movement was introduced by the National Recreation and Park Association in the mid-1990s; this movement has been defined as "an ongoing process by leisure service providers to identify desirable individual, economic, community and environmental benefits derived from recreational experiences, including the assignment of resources to address and promote these benefits and their outcomes."

Personal and Community Benefits

Evidence indicates that people tend to exercise more when they have access to parks and open spaces, thereby increasing health and reducing the risk of many physical, life-threatening conditions. Studies also show that providing access to parks and the outdoors creates benefits for psychological health. Physical activity is commonly known to relieve symptoms of depression and anxiety.

Parks provide spaces for outdoor play for children and in turn support their physical, behavioral and cognitive development. By providing engaging recreational opportunities for St. Helena's children and youth, parks and recreation systems can promote healthy and active play.

Children's play environments support physical, behavioral and cognitive development and promote healthy and active play.

Top: The St. Helena's Farmers Market attracts residents and vistors in support of local and regional agriculture and commerce.

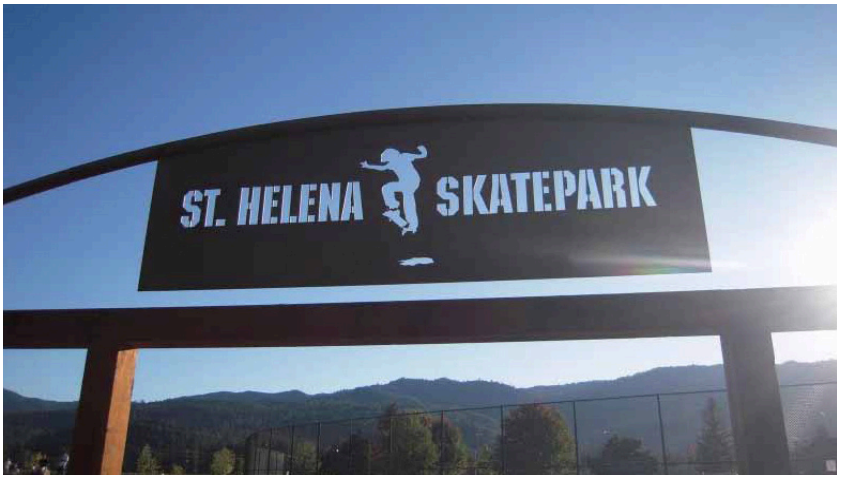
Bottom: Parks designed to showcase natural amenities can bring life to a neighborhood and provide important environmental benefits.

Economic Benefits

A healthy parks and recreation system is very important to local economic development. The availability of accessible open space is an issue that is central to quality of life, as access to open space is an important factor that people consider when choosing where to live or establish their business. Recreational amenities, including parks and green spaces, can help increase the value of nearby properties. Therefore, parks bring economic benefits to individual property owners and businesses and strengthen the local tax base, generating more revenue for public services and facilities, including new parks and open spaces.

Environmental Benefits

Open space and park lands can provide multiple environmental benefits for local communities. Parks help preserve ecologically and historically significant natural resources, in part through the preservation of wildlife habitat. Parks can also help to protect significant historic features of the natural landscape and play an essential role in protecting water and air quality. For example, green spaces help filter and reduce storm water run-off from more developed areas. Parks with healthy tree canopies help capture carbon dioxide and other polluting gases. By working to build an interconnected network of green corridors and open spaces, parks planners can help repair and restore ecosystems rather than detract from them.



The St. Helena Skatepark, located in Crane Park, is a popular spot for teens.

RECREATION FACILITIES AND PROGRAMS

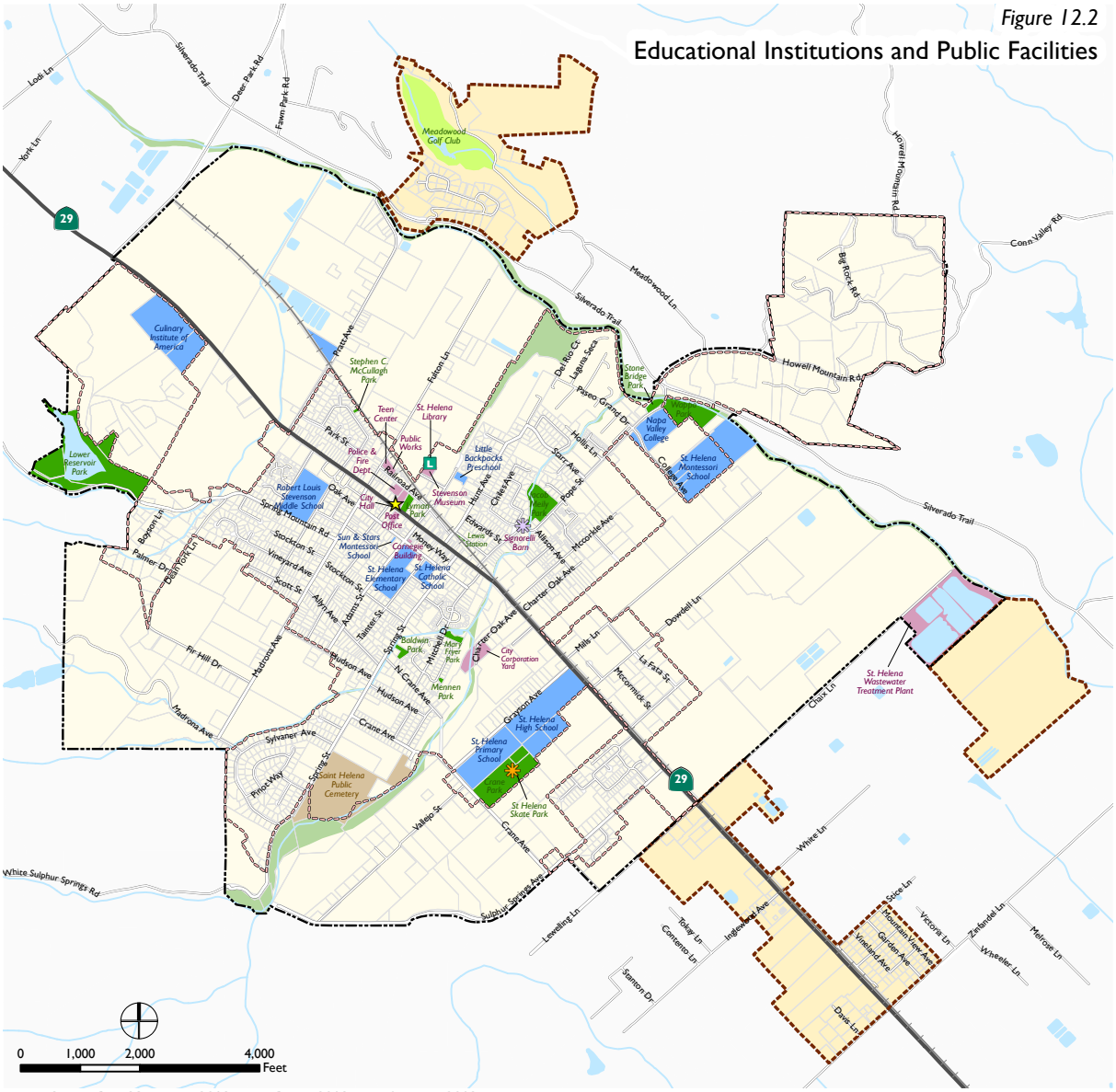
The City of St. Helena offers an array of recreational programs and services to residents. Programs include youth sports and summer enrichment programs, a middle school teen program, and recreational opportunities for adults and seniors. Local community centers, schools, parks, and recreation facilities, shown on Figure 12.2, host many of these programs. Key recreational facilities include a newly-constructed skate park, teen center, bocce courts, athletic fields, a dog park, a community garden, a public vineyard, and a community swimming pool.

As the city evolves, it will be important to ensure that these programs and services continue to respond to the changing demographics, interests, and needs of residents. By conducting regular citywide needs assessments in conjunction with the creation of a parks and recreation master plan, the City can update, revise, and develop new programs to accommodate the evolving needs of the community.

In addition, conducting regular needs assessments will provide opportunities to evaluate the location of parks and recreation facilities in the city to ensure that residents have safe, walkable, and equitable access to key recreational facilities, and that these facilities continue to provide a high level of service.

Figure 12.2

Educational Institutions and Public Facilities



Data Source: City of St. Helena, 2018; Napa County, 2018; Dyett & Bhatia, 2018

- City Hall
- Library
- Signorelli Barn
- Skate Park
- Educational Facilities
- Parks
- Cemetery
- Public Facilities
- Open Space
- Railroad
- Water Features
- Urban Limit Line
- Study Areas
- City of St. Helena

GENERAL PLAN UPDATE
City of St. Helena

DYETT & BHATIA
Urban and Regional Planners

Residents enjoy a sunny day of bocce ball at Crane Park.

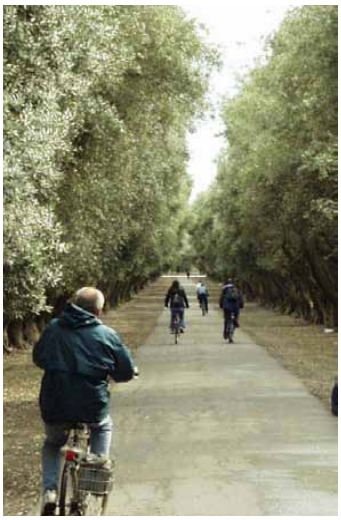
12.3 Key Findings

There are several challenges and opportunities facing St. Helena related to parks and recreation. The following key findings are based upon comprehensive existing conditions analysis and community input.

- Since the 1993 General Plan Update, the City has developed a number of new parks: Meily Park, centrally located on Pope Street on the east side of State Route 29; the Constantini property was added to Crane Park, creating the space for additional parking and improved vehicular access; and Wappo Park, which includes a dog park, was completed in 2012.
- With approximately 27 acres of parkland and a population of 5,900 in 2018, St. Helena's current ratio is 4.7 acres of parkland per 1,000 residents; however, the General Plan identifies additional acreage for future parks to meet the target of 5.0 acres per 1,000 established in this Plan. Notably, the Lower Reservoir, owned by the City, and open space areas along Sulphur Creek present opportunities to add significant acreage to the park system, and help achieve local and national park standards.
- State legislation known as the "Quimby Act" allows cities to set a standard of up to 5 acres of parkland per 1,000 population for purposes of formulating a park impact fee for new development. By requiring new development to dedicate parkland pursuant to the Quimby Act, the City can help ensure

that adequate parkland is available to meet the needs of the community as development is approved.

- Community members have strongly voiced the need for additional active recreation facilities to meet community needs, advocating in particular for increased and improved soccer facilities. Working with local schools and other groups in the community to identify new park sites where soccer facilities may be located to address the need.
- St. Helena offers a variety of recreational programs; including adult and youth sports leagues and camps, bocce, belly dancing, dog obedience, and summer programs for students at a range of grade levels. Recent efforts to raise funds for a skate park were successful and the park was opened in the fall of 2009. Expanding offerings to include programs in the creative and performing arts for residents of all ages and abilities can augment the City's current programs and encourage even greater participation.



St. Helena envisions a complete network of bicycle and pedestrian trails that connect residents and visitors to the places they want to go.

"Pocket parks" such as Lewis Station are fundamental to a comprehensive and interconnected parks system, especially in communities with limited opportunities to develop large, multi-acre parks.

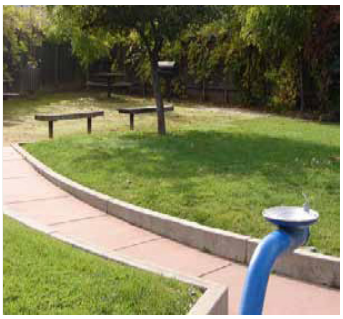
12.4 Goals

Provide High-Quality Parks and Recreation Services. St. Helena is dedicated to providing high-quality park facilities and recreation programs that meet the needs of residents of all ages and abilities, while efficiently managing fiscal resources and accommodating community priorities.

Achieve at a minimum the City's standard of 5.0 acres of parkland per 1,000 population, which is the maximum park ratio that can be used in establishing a park impact fee under the State legislation known at the Quimby Act. Despite the limitations imposed on the City by the Quimby Act, it is the City's ultimate goal to attempt to achieve the nationally recommended standard of 10.5 acres of park land per 1,000 residents.

Develop a System of Interconnected Bicycle and Pedestrian Trails. The City is committed to providing residents and visitors with opportunities to walk or bicycle throughout the city and the Napa Valley region, while promoting city-wide efforts to encourage participation in active, healthy alternate modes of transportation.

12.5 Policies and Implementing Actions



A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. A Comprehensive and Interconnected System of Parks;
2. Equitable Park Distribution and Access;
3. Urban/Agricultural and Parks Interface;
4. Park Facilities and Recreation Programs;
5. Community Participation and Partnerships; and
6. Bicycle and Pedestrian Amenities.

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together, they serve as strategic directions for City staff and partners, highlighting where time and resources should be focused.

Funding and maintenance of existing parks and development of new parks are both necessary to ensure safe and convienent access to outdoor recreation.

topic area
1 A COMPREHENSIVE & INTERCONNECTED SYSTEM OF PARKS

Policies

PR1.1 Retain the park standard from the 1993 General Plan of 5.0 acres of parkland per 1,000 residents, while striving for the nationally recommended standard of 10.5 acres per 1,000 residents.

PR1.2 Enhance the community's quality of life and ensure a widely accessible environment through the provision of a citywide system of parks and open spaces. Identify and develop linkages, corridors, and other connections to provide an aesthetically pleasing and functional network of parks, open space areas, and bike paths throughout the city.

PR1.3 Identify park land opportunity sites to ensure that the City can meet and possibly exceed its parkland standard of 5.0 acres per 1,000 residents. Locate new parks to ensure that City park facilities are equitably distributed throughout all areas of the city and residents of all ages can access them safely and conveniently.

PR1.4 Require park land dedications or civic improvement fees on all new residential, commercial, and industrial developments to meet the standard of 5.0 acres of parks per 1,000 residents.

PR1.5 Ensure adequate funding to acquire new park lands as they become available.

PR1.6 Develop new parks only after existing parks have received adequate funding and maintenance.

The interconnection and accessibility of parks and facilities should be central goals of a Parks and Recreation Master Plan.

topic area
1 A COMPREHENSIVE & INTERCONNECTED SYSTEM OF PARKS

Implementing Actions

PR1.A Develop a comprehensive, long-range Parks and Recreation Master Plan to aid the City in creating an integrated system of parks. The plan should be updated periodically to address changing recreation interests, trends, needs, and priorities. The Parks and Recreation Master Plan should:

- Identify long-term goals for the Parks and Recreation Department and the community;
- Describe current and future needs, interests, and community preferences for improving new parks and community facilities, and expanding or initiating new programs and services;
- Present a long-range plan for physical park and community facility improvements;
- Define performance standards (such as park function, size, and service area radii) and further develop park design guidelines and criteria;
- Prioritize projects;
- Identify the proportion of Civic Improvement Fees that will be contributed to the development and maintenance of parks and recreational facilities; and
- Outline funding mechanisms and strategies for managing the City's commitments, so that new requests and initiative are considered in light of existing commitments

Subsequent actions in this Element may be included in the Parks and Recreation Master Plan.

topic area
1 A COMPREHENSIVE & INTERCONNECTED SYSTEM OF PARKS

PR1.B Create opportunities to develop additional parks at the following locations:

- The City-owned land along the Napa River and Pratt Avenue for passive recreational uses;
- Land adjacent to York and Sulphur Creeks, as well as the Napa River levee;
- The water treatment plant site;
- The City-owned Lower Reservoir area for a water-oriented community park and recreational facility; and
- Ensure that new parks are developed to include bicycle and pedestrian trails.

PR1.C Identify a variety of funding sources for new parks and park improvements, including park land dedication, in-lieu fees, and regional, state, and federal grant programs, public/private partnerships, public/public partnerships with the St. Helena Unified School District, Conservation easements for public use, as well as other City funding sources.

PR1.D Strive to acquire additional park land to meet or exceed the minimum standard of 5 acres of parkland per 1,000 residents and, ultimately, to achieve the target of 10.5 acres per thousand residents.

PR1.E Develop a comprehensive network of bicycle and pedestrian trails that links the City's parks and enhances bicycle and pedestrian connectivity throughout the city and the region.

PR1.F Mandate City park land dedication requirements for new infill projects. Include specific park acreage and use requirements according to the type, scale, and population and increase of new development. Consider in-lieu fees for small infill projects.

topic area
2 EQUITABLE PARK DISTRIBUTION AND ACCESS

Policies

PR2.1 Distribute parks and recreational facilities throughout the city to ensure that all residents have convenient access to parks and recreational programs and facilities.

PR2.2 Construct new parks and recreation facilities to accommodate community needs.

PR2.3 Ensure that parks and recreation programs have safe and convenient access.

Focus on creating a parks and recreation system that is accessible to all residents.

topic area
2 EQUITABLE PARK DISTRIBUTION AND ACCESS

Implementing Actions

PR2.A Prioritize the construction of new parks and recreation facilities to ensure that they are distributed equitably to all areas of the city. Park and recreation facility development studies should include the potential impacts of development on surrounding natural resources and agricultural areas.

PR2.B Encourage the inclusion of pocket parks that include amenities, such as picnic tables, restrooms, shade and recreation spaces near retail, commercial, and industrial areas.

PR2.C Locate parks and recreation facilities in areas that are easily accessible by public transportation, as well as cars, bicycles, and pedestrians.

PR2.D Where possible, ensure that recreation programs and access to facilities are provided at costs affordable to all St. Helena residents.

PR2.E Develop and implement a list of planned parks and recreation facilities.

PR2.F Identify community locations that are not within a 10-minute walk of a park or recreation facility. Develop parks in the identified areas to ensure an equitable distribution of parks citywide.

PR2.G Encourage the development of parklets throughout the city.

PR2.H Encourage the development of linear parks throughout the city.

Active recreation is an important part of community life for many St. Helena residents.

topic area
3 URBAN/AGRICULTURAL AND PARKS INTERFACE

Policies

PR3.1 Ensure that the design and development of parks and recreation facilities preserves viewsheds and creates a buffer between urban and agricultural uses, where necessary.

PR3.2 Protect sensitive habitat, agricultural land, and open space when planning and maintaining City park lands.

PR3.3 Support local wildlife conservation efforts by incorporating habitat elements in urban/agricultural interface areas and ensuring the protection of migration corridors.

Protecting sensitive agricultural land and preserving viewsheds are important elements of park and facility design and development.

topic area
3 URBAN/AGRICULTURAL AND PARKS INTERFACE

Implementing Actions

PR3.A Develop design guidelines for recreational facilities that preserve viewsheds and maintain a transition buffer between urban and agricultural uses. Include specific design criteria regarding recreational trails and picnic areas adjacent to agricultural uses.

PR3.B Identify locations where new recreational programs and facilities may be constructed.

PR3.C Design and locate new parks to minimize noise and activity impacts on nearby agricultural and residential uses. This includes requiring context-sensitive site designs that minimize negative impacts on surrounding uses, such as pathway and picnic area locations, ball field usage and park lighting.

PR3.D Provide habitat elements in urban/agricultural interface areas. Habitat elements may include roosting trees and nesting boxes for birds, bats, and other wildlife, as appropriate.

topic area
4 PARK FACILITIES AND RECREATION PROGRAMS

Policies

PR4.1 Develop systematic and comprehensive plans to guide the development and operation of City parks and recreational programs.

PR4.2 Balance preservation, education, recreation, and public health and safety in park and open space planning.

PR4.3 Provide park areas for residents of all ages to meet a variety of recreational and social needs, including: seniors; formal, active uses; passive uses that allow for interaction with natural landscapes; and interpretive programs that highlight geomorphology, ecology, cultural resources, agricultural heritage, and historic preservation.

PR4.4 Ensure that all parks and recreational facilities are attractive, safe, and well-maintained with adequate lighting.

PR4.5 Prioritize park acquisitions and improvements that expand and enhance St. Helena's active recreation facilities and programs to accommodate diverse community needs and interests.

The St. Helena Recreational Facility provides opportunities for residents to create and give back to the community, to make healthy choices, to learn, and to grow.

topic area
4 PARK FACILITIES AND RECREATION PROGRAMS

Implementing Actions

PR4.A If feasible, revise and update the City's recreation program in order to enhance existing programs and/or develop new programs.

PR4.B Promote design guidelines for the development of parks and recreation facilities. Design parks and recreation facilities that are attractive, safe, and easy to maintain. This action may be included in a Parks and Recreation Master Plan.

PR4.C Identify locations to accommodate active recreational uses to meet city-wide needs. Potential locations include:

- Bicycle and pedestrian trails, interpretive areas, trail heads, and comfort stations along York and Sulphur creeks and the Napa River; and
- A community park at the City-owned Lower Reservoir area

PR4.D Support opportunities to involve children and youth in a participatory planning process for the planning, design, construction, and maintenance of City parks.

PR4.E Design children's play areas to include shade and wind protection.

PR4.F Provide multi-purpose event spaces for events in the park system, where possible.

PR4.G Install art designed by local artists in parks, where possible.

PR4.H Encourage the development of soccer fields, multi-sport facilities and open access to a community pool.

PR4.I Identify key improvements to existing parks, such as parking, picnic facilities, restrooms, tot lots with play structures, and multi-modal access points. This action may be included in a Parks and Recreation Master Plan.

Jacob Meily Park's playground and turf area accommodate active recreational uses for children and adults alike.

topic area
5 COMMUNITY PARTICIPATION AND PARTNERSHIPS

Policies

PR5.1 Encourage partnerships with local organizations and the private sector to provide, develop and maintain parks, recreation facilities, and programs.

PR5.2 Ensure that a broad cross-section of St. Helena stakeholders participates in the planning, design, and maintenance of parks and recreational amenities.

PR5.3 Encourage volunteerism, mutual responsibility and community spirit to set the tone that St. Helena's public parks and open spaces belong to everyone.

Community volunteerism and stewardship are essential to creating safe, clean and accessible parks and recreational facilities for St. Helena residents.

topic area
5 COMMUNITY PARTICIPATION AND PARTNERSHIPS

Implementing Actions

PR5.A Emphasize joint planning and cooperation with all public agencies as the preferred approach to meeting St. Helena's parks, facilities and program needs.

PR5.B Mandate City parkland dedication requirements for new infill projects. Include specific park acreage and use requirements according to the type, scale and population and increase of new development. Consider in-lieu fees for small infill projects.

PR5.C Provide local organizations, the St. Helena Unified School District and the private sector with opportunities and support for creating and implementing solutions to meet the City's parks and recreation facilities' needs.

PR5.D Cooperate with local groups in designing and constructing recreation facilities. Where possible, coordinate recreation and child care programs and facilities with school district programs.

PR5.E Negotiate joint-use agreements for recreation facilities with the St. Helena Unified School District.

PR5.F Involve the private sector in providing and maintaining parks and recreation facilities through formal agreements with the City and in sponsoring increased volunteerism.

topic area
5 COMMUNITY PARTICIPATION AND PARTNERSHIPS

PR5.G Investigate the feasibility of creating a non-profit foundation to seek and receive funds for the support of parks and recreation programs. Look to St. Helena's successful library foundation as a local model.

PR5.H Foster neighborhood park planning committees, including neighborhood residents, business owners, and representatives from local groups to help plan, design, and maintain parks and recreational facilities.

PR5.I Work with community members and representatives of local sports organizations to define facilities needs as community needs change with time.

PR5.J Develop a public outreach program to involve community members in park maintenance and upkeep, and in mitigating vandalism. Create park signage to encourage responsible use of parks, and partner with the police force to support enforcement efforts.

topic area
6 BICYCLE AND PEDESTRIAN AMENITIES

Policies

PR6.1 Promote walking and bicycling as safe and convenient modes of transportation.

PR6.2 Develop a comprehensive network of bicycle and pedestrian trails to enhance bicycle and pedestrian connectivity throughout the city and the region. *(Also see the Community Design Element, Topic Area 4)*

PR6.3 Promote the inclusion of bicycle and pedestrian trails, and bicycle lanes throughout the city, as well as connections to regional trail systems, such as the Napa Valley Vine Trail.

PR6.4 Carefully evaluate whether new bicycle and pedestrian trails can be developed and enjoyed without significant environmental risk to nearby sensitive habitat, including fish habitat.

PR6.5 Ensure that new bicycle and pedestrian trails near actively farmed agricultural areas are developed in a manner that minimizes risk of injury to pedestrians and cyclists from active farming operations.

Bicycle amenities in parks encourage community members to bike more often.

topic area
6 BICYCLE AND PEDESTRIAN AMENITIES

Implementing Actions

PR6.A Develop and adopt a citywide bicycle and pedestrian master plan to improve bicycle and pedestrian safety, and to encourage community members to walk and bike more often. Build on St. Helena's existing partnership with the Napa Valley Transportation Authority (NVTA) to ensure that the City's master plan is consistent with countywide transportation planning efforts. *(Also see the following elements: Circulation, Topic Area 2; Open Space and Conservation, Topic Area 2)*

PR6.B Develop guidelines for the design, construction, and maintenance of bicycle and pedestrian trails in St. Helena. Include guidelines for installing context-sensitive and solar lighting, and mitigating noise impacts from the trails. Include guidelines for wayfinding and interpretive exhibits that use signs, art, and other visual clues to enhance users' experiences. Highlight the rich history of the City and provide education and information for users. Coordinate the guidelines with Napa County or regional trail connections.

PR6.C Develop and adopt an ordinance that requires new development and redevelopment projects to provide bicycle and pedestrian improvements and amenities.

PR6.D Endeavor to secure easements or title to land along Sulphur Creek, York Creek, and the Napa River.

PR6.E Coordinate with countywide efforts to establish regional trail systems through the city limits.

PR6.F Develop a maintenance and operations plan for the City's trail network. Provide a high level of service to users by preventing deterioration, encroachment of vegetation, vandalism and crime. Consider including an Adopt-a-Trail program and invite local businesses to participate in trail maintenance. Include a funding program to support the plan.

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chapter thirteen

arts, culture and entertainment

13 arts, culture and entertainment

Visual arts and music represent the two largest segments of the arts and culture sector in Napa County.

1 introduction
2 land use and growth management
3 economic sustainability
4 public facilities and services
5 circulation
6 historic resources
7 community design
8 open space and conservation
9 public health, safety and noise
10 climate change
11 housing
12 parks and recreation
13 arts, culture and entertainment

13.1 Purpose of the Element

The Arts, Culture, and Entertainment Element is not a State-required General Plan Element; however, it presents St. Helena's approach to reinforcing the City's unique identity and character through integrating arts, culture, and entertainment into the community's everyday life. The intent of this Element is to preserve and protect the community's heritage and cultural resources, celebrate its vibrant social fabric, and expand opportunities for arts enrichment. By supporting City leadership, active community participation, and strategic partnerships, this Element creates the foundation for ensuring that the arts flourish, while reinforcing St. Helena's unique character and identity.

The Arts, Culture and Entertainment Element includes the following sections.

- **13.2 Arts, Culture, and Entertainment in Napa County St. Helena**. Describes key community arts, culture, and entertainment issues (p. 13-3).
- **13.3 Key Findings**. Identifies key findings based on an existing conditions analysis (p. 13-8).
- **13.4 Goals**. Defines overarching goals to guide policies and recommendations (p. 13-11).

- **13.5 Policies and Implementing Actions**. Identifies policies and implementing actions to stimulate arts, culture and entertainment programming and contribute to the City's livability (p. 13-12).

Arts provide opportunities for intergenerational collaboration and can serve as important outlets of expression for youth.

13.2 Arts, Culture, and Entertainment in Napa County and St. Helena

Napa County has a rich arts, culture, and entertainment sector that includes independent artists, theater companies, and arts organizations. Regional arts and cultural resources are rooted in a long-standing and celebrated history of craftspeople and artisans throughout the Napa Valley. St. Helena shares an important part of this history and is closely connected with regional organizations, including the Arts Council Napa Valley and the Napa County Arts Commission.

The City of St. Helena has the greatest number of arts resources per capita in the Napa Valley and is home to the county's largest community of arts practitioners, particularly in the fine, visual, performing, literary and culinary arts. In addition, the city is a culturally diverse community that has drawn residents from around the world since its earliest days. St. Helena strives to continue to be a place where artistic expression and cultural diversity can flourish, and where an array of multi-faceted and ever-evolving art forms are created, performed, taught and exhibited.

Artistic and cultural festivals, performances and exhibitions are significant both socially and economically, for visitors and residents alike. They provide opportunities to celebrate the community's rich history and creative talent. In turn, residents stand to benefit from the exposure to new ideas that may result from participation in such events and activities. Ensuring that City arts, culture and entertainment policies support a wide array of media can broaden the overall impact of the arts on St. Helena's cultural growth and local economic development efforts.

COMMUNITY EDUCATION AND ENGAGEMENT THROUGH ARTS, CULTURE, AND ENTERTAINMENT

The arts can play a central role in strengthening community pride, engaging community members in social and cultural activities and events and increasing community awareness about the histories and legacies of the Valley's natural landscape and its people. The arts also bring people together to celebrate, learn about, and preserve contributions to the City's contemporary culture, economy, and urban form. Opportunities abound in St. Helena to facilitate this type of interaction and exchange. Similarly, by partnering with the St. Helena Historical Society and local Native American groups, St. Helena can encourage the development of a series of historical tours, interpretive walks, and special events to celebrate the City's earliest history and people.

The arts also provide opportunities for intergenerational partnerships and collaboration and can serve as important outlets of expression and creativity for youth. Arts community representatives have expressed the need to reconnect young people to the arts. According to an Arts Council Napa Valley survey conducted in 2007, of the vast majority of Valley artists are over the age of 35. In effect, the future of the arts community depends on engendering arts appreciation and participation in local youth. Local artists seek to strengthen art programming in local schools and build partnerships between schools and local arts organizations. The City can provide additional support for school and after school-based arts programming through expanded Recreation Department arts offerings and increase funding to local arts organizations who offer arts programs to youth.[1]

1 *Arts Council Napa Valley. A Community Cultural Plan for Napa County. 2007.*

In 2008, more than 450 people attended the first St. Helena Dia de los Muertos celebration, a jointly-hosted event sponsored by local arts and family organizations. The event not only featured arts and crafts but also highlighted the heritage of the City's vibrant Latino community.

The performing arts are important for St. Helena both socially and economically.

In 2017, Napa Valley's arts and culture community came together at St. Helena's Lyman Park for "Arts in the Streets," with participation from the Robert Louis Stevenson Museum, Napa Valley Cooking School, the Napa Valley Writer's Conference, and Nimbus Arts, a community-owned nonprofit organization that aims increase the Napa Valley Community's access to arts.

Since 1981, St. Helena's Napa Valley College – Upper Valley Campus has hosted the annual Napa Valley Writers' Conference, an internationally-recognized literary gathering and educational event that attracts world-class poets and authors. Strengthening public awareness about the conference and supporting linkages between local schools and arts organizations can maximize the educational, cultural and economic development impacts of this important event to the City.

TOURISM AND LOCAL IDENTITY

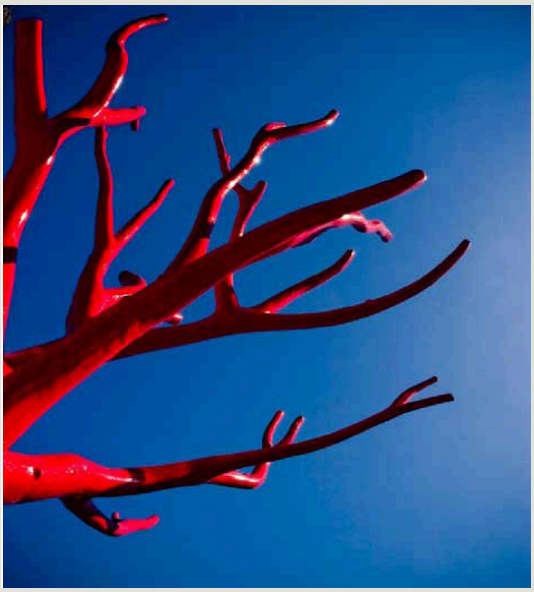
The Napa Valley is known as a world-class food, wine, and lifestyle destination, and tourism is a strong economic driver of the local economy. The Valley's arts sector also has a role to play in local economic development, as national data indicate that cultural tourists tend to spend more and stay longer than other tourists.[2] By encouraging public arts funding, installations and events, including the earmarking of public funds, the City can capitalize on the potential of the arts to generate cultural tourism and contribute to economic development efforts that support local artists and businesses.

Public art can also play a significant role in enhancing community design, creating visual interest in a neighborhood, and also showcasing regional or local talent. Creating an Art in Public Places Program can help advance the goal of the City to establish the arts as an integral part of St. Helena's identity. This program can also expand St. Helena's national attention to more sectors outside of the well-established food and wine industry, demonstrate the City's commitment to leadership in public arts, pay homage to St. Helena's rich history, and provide a mechanism for meaningfully involving citizens in the design of the City's public spaces.

2 *Hargrove, C. (2014). Cultural Tourism: Attracting Visitors and their Spending(Rep.). Retrieved https://www.americansforthearts.org/sites/default/files/pdf/2014/by_program/reports_and_data/toolkits/cultural_districts/issue_briefs/Cultural-Tourism-Attracting-Visitors-and-Their-Spending.pdf*

CONCEPTS, TRENDS AND IDEAS

The Benefits of Art in Public Places



Top: Public art can add color to an urban setting and create a visual point of interest for passersby.

Bottom: The Cultural Citizen Tree in San Jose's St. James Park is a 14-foot high mixed-media sculpture that symbolizes growth and change.

"Art in public places" refers to publicly accessible artwork that is integrated into the design of public or private property. Public art may draw from a city's unique identity and character through integrating arts, culture and entertainment into the community's everyday life. Also, public art can commemorate and interpret historical contributions, reflect unique identity and help to define a city's gateways, focal points and public or private uses.

Art installations and programs can support economic development and redevelopment goals by enhancing community livability and identity and by contributing to a stimulating cultural environment for both residents and visitors. St. Helena is dedicated to strengthening the arts and cultural sector, beautifying the environment, and ensuring that the arts flourish and reinforce St. Helena's unique character and identity through ongoing financial support for local visual, performing, cultural, literary and culinary arts.

13 arts, culture and entertainment

Creating an Art in Public Places Program can help advance the City's goal of establishing the arts as integral to St. Helena's identity.

13.3 Key Findings

There are several challenges and opportunities facing St. Helena related to arts, culture and entertainment. The following key findings are based on a comprehensive existing conditions analysis, stakeholder interviews and community input.

- The nonprofit arts and culture industry contributes significantly to the national economy by generating approximately $166.2 billion in total economic activity nationwide each year. In addition, the arts support 5.7 million jobs, generate $29.6 billion in tax revenue and contribute $104.2 billion to household incomes. By strengthening its arts sector, St. Helena can establish the arts as a key driver in the local economy.
- Visual arts and music represent the two largest segments of the arts and culture sector in Napa County, complemented by theater, dance, film, media, literary and cultural programming, creating a varied and diverse arts landscape across the county. In addition, St. Helena hosts world-renowned culinary arts resources that contribute greatly to the local economy and cultural community.
- St. Helena has the greatest number of artists and arts organizations per capita in the Napa Valley. Although the City's population is only five percent of the Valley's total population, St. Helena's artists and arts organizations account for 18 percent of the Valley's total.

In a 2007 Arts Council Napa Valley survey, 78 percent of Napa County's artists reported that they worked in their homes and supplemented their art income with alternate employment. Twelve percent of Napa County artists described themselves as full-time, professional artists. Many reported that they chose to live in Napa County for its charm and beauty, but find the high costs of living, studio, and rehearsal spaces challenging and limiting to their artistic pursuits. The City can help strengthen its arts community with actions to ensure there are places available for artists to live and create, including identifying locations for affordable studio, rehearsal and performance spaces, and reducing regulatory barriers that limit artists' abilities to live, create, exhibit, and sell their works from their homes.[3]

- St. Helena's arts and culture sector is strongly affected by the strength and vitality of the arts sector in the Napa region. Artists and arts organizations across the Napa Valley compete for attendance, local support and resources.
- In the 2007 Arts Council Napa Valley survey, arts community representatives highlighted a need for increased marketing and communications focused on the area's arts offerings. Representatives also cited the need for artists to have places to gather and communicate about upcoming events and partnership opportunities. By encouraging arts gatherings, events and public art installations, the City can assist local artists in marketing their work and collaborating to share information about upcoming events, facilitating interaction between artists and the local business community.
- Members of the arts community expressed a need for additional community arts, performance and exhibition spaces to meet the needs of emerging artists. They cited a need for venues in which to screen films, videos, and multimedia exhibits, and performing arts venues that can accommodate smaller dance or theatre companies. As part of a countywide effort to strengthen the local arts and cultural communities, St. Helena can undertake an arts facility inventory to identify possible locations for a cultural arts center designed to meet current unmet needs.

3 *Warshawski, Morrie. Executive Summary: Town Hall Meetings. Prepared on behalf of the Arts Council Napa Valley. 2007*

13 arts, culture and entertainment

City policies that support an array of media can broaden the overall impact of the arts on St. Helena's local economic development efforts.

- Actions available to the City to increase its support for the arts, culture and entertainment sector include creating a public funding mechanism to support public art and art events, reducing regulatory barriers such as licenses and permits that can be prohibitively expensive for emerging artists and refining zoning regulations that pertain to live/work studio spaces and artists' ability to sell work from their homes and studios.
- Currently, the City lacks a designated body to organize, oversee, and guide arts and cultural programming in St. Helena. Establishing a St. Helena Arts Committee to direct funding, work with the City to streamline permitting and approvals, , and liaise with the Napa County Commission for Arts and Culture and other regional efforts can strengthen collaboration and coordination within the local arts and culture sector. Such a committee would also ensure that arts and culture become a critical part of St. Helena's high quality of life and unique sense of place. In addition, including representatives of a wide range of arts media and cultural groups, as well as age, on the Arts Committee can ensure that St. Helena pursues an equitable and balanced arts program.groups on the Arts Committee can ensure that St. Helena pursues an equitable and balanced arts program.

13.4 Goals

The goals of the Arts, Culture and Entertainment Element are:

Celebrate Arts, Culture, and Entertainment.

St. Helena is committed to celebrating the contribution of its visual, performing, culinary and entertainment artists who help define the City's unique identity and the high quality of life.

Strengthen and Expand Arts, Culture, and Entertainment.

St. Helena is dedicated to strengthening its arts, culture, and entertainment sector, improving the economic health of the City, beautifying the environment, and incorporating the arts into daily life through ongoing financial support for local visual, performing, cultural, literary, and culinary arts.

Honor Culture and Heritage.

St. Helena seeks to venerate the past and present contributions of its residents and their diverse cultural and historic contributions to the City.

This stained glass greenhouse incorporates art into daily life in the Napa Valley.

Local concerts in the park provide opportunites for the community to gather, dance, and enjoy live music.

13.5 Policies and Implementing Actions

A range of policies and implementing actions are outlined below and organized into the following topic areas:

1. Community Enhancement and Economic Development;
2. Inclusive Programs;
3. Awareness, Education and Outreach; and
4. Civic Leadership

The following policies and actions mandate, encourage, or allow certain initiatives to be pursued throughout the duration of the General Plan. Together, they serve as strategic directions for City staff and partners, highlighting where time and resources should be focused.

Policies

AC1.1 Ensure widespread opportunities for arts exposure by integrating them physically and socially into community life in order to establish the arts as an integral part of St. Helena's identity.

AC1.2 Promote arts and culture as key components of St. Helena's historic, current and future identity.

AC1.3 Support collaboration between local business organizations to incorporate public art into the City's economic development strategies.

AC1.4 Increase the contribution of arts, culture, and entertainment to cultural tourism and local economic development efforts through partnerships with regional arts organizations.

Parades and festivals help to integrate celebration of art, history and culture into community life.

Implementing Actions

AC1.A Develop a program to expand major festivals and events that celebrate arts, culture, and history while contributing revenue to the City. Potential events include:

- Endeavors that feature the youth in arts, such as communitywide student recognition concerts and a youth arts festival;
- Theater-in-the-park performances;
- Dance;
- Outdoor film screenings;
- Art shows and art walks;
- Poetry readings;
- Holiday and cultural parades;
- Culinary and harvest celebrations;
- Open studios;
- Music festivals; and
- Art-based competitions.

AC1.B Develop and implement a marketing/public relations campaign that highlights artists and events in St. Helena. Possible City actions can include posting arts announcements on the City's website, installing a kiosk downtown that distributes local arts information to the community, and hosting events where artists and arts organizations can gather to share information with local business owners. Pursue opportunities to increase revenue due to cultural tourism. Partner with regional arts organizations to maximize the effectiveness of marketing and cultural tourism efforts.

AC1.C Adopt an Art in Public Places program and ordinance to ensure that public art projects occur efficiently and in a way that meets citywide objectives.

Local museums and sculpture gardens serve as an attraction for cultural tourists.

topic area
1 COMMUNITY ENHANCEMENT & ECONOMIC DEVELOPMENT

AC1.D Identify existing locations that can be used as studio, rehearsal, exhibition, and performance spaces. Support efforts to make these spaces affordable to local artists.

AC1.E Provide public performance spaces for musicians, dancers and other performing artists.

AC1.F Identify locations, where public or private, sponsored arts, cultural, and entertainment events can be held and activities can occur. Locations may include the St. Helena library, new development on Adams Street, and the Cameo Theatre.

AC1.G Provide zoning and developer incentives to encourage and reward the creation and retention of affordable spaces for artists to create and present work.

AC1.H Encourage development of public-private partnerships with culinary institutions to support local emerging chefs, bakers, specialty food makers, and other local emerging culinary artists.

AC1.I In cooperation with the St. Helena Historical Society, develop a public education and awareness program to promote the City's historical and cultural resources. Program components can involve self-guided walking tours, plaque identification programs, home and garden tours, speakers' series and other public events.

(For additional policies and implementing actions regarding historic and cultural education and outreach, see the Historic Resources Element.)

topic area
2 INCLUSIVE PROGRAMS

Policies

AC2.1 Encourage emerging art forms, artists, and diverse cultural traditions.

AC2.2 Promote affordable, relevant, and accessible cultural offerings for all St. Helena residents.

Implementing Actions

AC2.A Identify artists and outlets for diverse cultural offerings.

AC2.B Identify and direct funding to support artists who represent the diversity of the St. Helena community.

AC2.C Encourage the participation of all arts organizations in citywide marketing and promotional opportunities.

AC2.D Encourage performing arts organizations to make empty seats available at low or no-cost to St. Helena residents who cannot otherwise afford to attend performances.

St. Helena supports diverse cultural traditions and emerging artists and forms of art.

topic area
2 INCLUSIVE PROGRAMS

Visual arts are an important part of St. Helena's identity.

AC2.E Conduct outreach about local arts opportunities and events to non-English speaking groups, particularly the Spanish-speaking community.

AC2.F Consider a series of City-sponsored events that enable artists and cultural organizations to gather and exhibit works.

AC2.G Develop an incentives program to grow the capacity of local artists and arts organizations. Encourage affordable, strategically located studio workspaces, performance, and exhibit spaces in underutilized buildings; encourage professional exhibitions or demonstrations and sales; and provide tools and resources to secure support for their work.

AC2.H Make City property available for the public display of art.

topic area
3 AWARENESS, EDUCATION AND OUTREACH

Policies

AC3.1 Support community-based arts organizations that make significant contributions to the St. Helena community.

AC3.2 Nurture creativity and artistic talent through a rich offering of well balanced and equitably-distributed arts and cultural education programs and services.

AC3.3 Increase local awareness of the arts sector.

AC3.4 Support expanded arts programming in schools and strengthen youth arts opportunities provided by arts organizations.

Community-based arts make important contributions to the St. Helena economy and quality of life.

Implementing Actions

Encourage the creation of a St. Helena Arts Committee to embrace these concepts:

AC3.A Consider attracting world-class artists and research what is being done with successful art-based communities in other destinations in order to enhance the community and revenue.

AC3.B Engage local and regional media in generating interest and excitement about the importance of arts to the St. Helena community.

topic area
3 AWARENESS, EDUCATION AND OUTREACH

AC3.C Conduct and publish results of an arts in education survey of programming available through local schools and organizations. Using this research as a foundation, create an Arts Education Master Plan for St. Helena.

AC3.D Actively pursue joint-use agreements with the Napa County Office of Education, St. Helena Unified School District, faith organizations, public agencies, private entities, or nonprofit organizations that own or operate facilities within the city to maximize the use of facilities in the community for arts and entertainment purposes.

AC3.E Develop an effective outreach program for all City programs and services in order to ensure the successful delivery of information about arts program availability to the general public. Ensure that all materials are made available in Spanish and other languages spoken in the community.

AC3.F Encourage "artists-in-residence" programs in schools and arts organizations in order to expand opportunities for youth to experience the arts.

AC3.G Partner with the Arts Council Napa Valley and other arts organizations to support a centralized information bank and resources for schools, artists, and arts organizations for arts programming.

AC3.H Provide funding and support for artists and teachers to develop best practices.

topic area
4 CIVIC LEADERSHIP

Policies

AC4.1 Support improved coordination and communication between arts organizations.

AC4.2 Support the arts in partnership with the City and business communities.

AC4.3 Build a coalition of informed arts advocates who can generate support for key arts issues within the city.

AC4.4 Create public funding sources for the arts.

AC4.5 Partner with Napa County and regional arts endeavors to ensure that the City's support for arts, culture, and entertainment integrate others in the area.

AC4.6 Create locations for public displays of art and facilitate their use on public property.

AC4.7 Create a permitting process that facilitates art installation on public property.

Implementing Actions

AC4.A Encourage the creation of a St. Helena Arts Committee to oversee art installations, proposals, funding strategies, education, and public relations efforts. The Arts Committee can facilitate connections between artists and the business community and oversee City-sponsored efforts.

AC4.B Consider how to create a sustainable public funding system, such as a percentage allocation of development fees and/or transient occupancy taxes (TOT), to support the City's efforts to promote arts, culture, and entertainment. Conduct a survey to identify additional models of public support for artists and arts organizations and consider a plan to implement appropriate policies.

(Also see the Economic Sustainability Element, Topic Area 1)

AC4.C Consider a local arts funding strategy to increase private funding and resources that support artists and local art institutions and organizations in the city. Identify key donors to participate in public-private partnerships to support arts and culture citywide.

AC4.D Encourage incentives and rewards for partnerships and cooperation through funding policies and resource development.

AC4.E Provide opportunities for arts leaders to build partnerships and develop joint projects, including revenue-generating events.

AC4.F Explore opportunities to build partnerships with other municipalities and the County to support regional arts and culture promotion efforts.

AC4.G Create a simple, user-friendly permitting process for artists to display their works.

Partnerships between artists and the business community are critical to developing sustained support for arts, culture and entertainment in St. Helena.

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appendix A

historic resources list

Name	Address/Location	National Register	California Register	Locally Designated	Contributor to a Historic District
Burn & Wise Cellars, Greystone Cellars	2555 Main St	L	L	L	
Charles Krug Winery	2800 Main st	L	L	L	
Special Internal Revenue Bonded Warehouse	1216 Church St	L		L	
William Tell Saloon and Hotel	1228 Spring St	L		L	HC
St. Helena Catholic Church	1255 Oak St	L		L	
Taylor Duckworth and Company Foundry Building	1345 Railroad Ave	L		L	HC
St Helena Public Library	1360 Oak St	L		L	
Crane-Ramos Sherry Factory	1468 Railroad Ave	L		L	
Beringer Brothers/Los Hermanos Winery	2000 Main St	L		L	
Rhine House/Frederick Beringer	2000 Main St	L		L	BW
Greystone Cellars/Christian Brothers	2555 Main St	L		L	
St Helena High School/Vintage Hall	437 Main St	L		L	
St. Helena Historic Commercial District	Main St	L		L	
Pope Street Bridge/21C-109	Pope St	L		L	
Saint Helena Southern Pacific Railroad	Railroad Ave	L		L	
Saint Helena Ranger Unit Headquarters	1572 Railroad Ave	E	E		
Frank Sciaronis Winery & Distillery	1050 Charter Oak Ave	E		L	
John Money's Planing Mill	1057 Main St	E		L	
Noble Building, Galleron Building	1200 Main St	E		L	HC
A. Goodman Building	1201 Main St	E		L	HC
Alexander Court	1207 Alexander Ct	E		L	
Frank L. Alexander House	1207 Alexander Ct	E		L	
David Building, Little Dress Factory	1231 Main St	E		L	HC
C.D. Mooney House	1269 Allyn Ave	E		L	
	1279 Allyn Ave	E		L	
Hunt Building	1302 Main St	E		L	HC
Windsor Hotel, Hotel St Helena	1305 Main St	E		L	HC
United Methodist Church of St Helena	1310 Adams St	E		L	
St Helena Native Sons of the Golden...	1313 Spring St	E		L	
Dowdell House	1317 Allyn Ave	E		L	
St Helena Elementary School	1325 Adams St	E		L	
Richie Block	1327 Main St	E		L	HC
St. Helena Star Building	1328 Main St	E		L	HC
St. Helena Ioof Hall/Odd Fellows	1352 Main St	E		L	HC
KettleWell Building, Vasconis Phar.	1381 Main St	E		L	
George Schonewald Estate	1401 Hudson Ave	E		L	
Walter Metzner House	1407 Kearney St	E		L	
First Presbyterian Church of St Helena	1420 Spring St	E		L	
Klubescheidt House	1445 Oak St	E		L	
A.N. Bell House, Stralla House	1459 Kearney St	E		L	
Dr. Davis House	1467 Oak St	E		L	
Greenfield House	1508 Main St	E		L	
Shy House	1542 Spring St	E		L	
Willian Bell House, Clark House	1605 Spring Mountain Rd	E		L	
George W. Schmidt House	1611 Adams St	E		L	
Gus Jursch House	1637 Spring Mountain Rd	E		L	
Mackinder - Baldwin House	1651 Spring Mountain Rd	E		L	
Fuller House	1817 Main St	E		L	
Fuller Place Tankhouse	1817 Main St	E		L	
Kraft House and Wine Cellar	1902 Madrona Ave	E		L	
Vann-Anderson House, St. Gothard's	1915 Main St	E		L	
Elm Alley	2000 Main St	E		L	BW
Hudson House	2000 Main St	E		L	BW
Dr. George Belden Crane House	397 Main St	E		L	
James Dowdell House	415 Dowdell Lane	E		L	
Mixon House	835 Mccorckle Ave	E		L	
	921 Hunt Ave	E		L	
Jacob Meily Winery, Signorelli Pla.	924 Pope St	E		L	
D.O. Hunt house	957 Hunt Ave	E		L	

Name	Address/Location	National Register	California Register	Locally Designated	Contributor to a Historic District
	967 Charter Oak Ave	E		L	
E York Wine Cellar	1095 Lodi Lane	E			
York Alexander House, Casa Robles	1105 Lodi Lane	E			
Wheeler House, Mill Mar Ranch	1445 SR 29	E			
Site of Turner Hall, Lyman Park	1498 Main St	E			
Spring Valley School	1796 Silverado Trail	E			
Lewelling House	2093 Sulphur Springs Ave	E			
Mrs W B Bourn House, Madrono	2233 Sulphur Springs Ave	E			
John Thomann House / Chalet...	225 St Helena Hwy	E			
Edge Hill Carriage House	2727 Sulphur Springs Ave	E			
Edge Hill Stables	2727 Sulphur Springs Ave	E			
F Rosenbaum House/Johannaberg Vineyards	2867 SR 29	E			
Melrose Farm	493 Zinfandel lane	E			
Asa White House, White Ranch	707 White Lane	E			
Ives House, Bellani House	738 Main St	E			
Napa Valley Olive Oil Manufactory	835 Charter Oak Ave	E			
Lodi School, lodi Farm Center	Lodi Lane	E			
Main Street Electrolaires	Main St	E			
Rutherford School, Caymus School	SR 29	E			
Zinfandel Bridge	Zinfandel Lane	E			
Bank of St Helena, Pastime Bar	1351 Main St		L	L	HC
Ranger's Residence	1572 Railroad Ave		L		
Kraft Wine Cellar	1902 Madrona Ave		L		
Edge Hill Distillery, Edge Hill	2585 Sulphur Springs Ave		L		
	0000 Alexander Court			L	
	1000 Hunt Avenue			L	
	1000 Main Street			L	
	1006 Pope Street			L	
	1012 Pope Street			L	
	1017 Charter Oak Avenue			L	
	1017 Pope Street			L	
	1024 Pope Street			L	
	1025 Allison Avenue			L	
	1028 Main Street			L	
	1034 Pope Street			L	
	1102 Edwards Street			L	
Pritchard Building	1104 Adams St			L	HC
	1105 Adams St			L	
	1114 Church Street			L	
	1125 Pope Street			L	
	1132 Church Street			L	
	1133 Edwards St			L	
	1136 Edwards Street			L	
	1160 Edwards Street			L	
	1161, 1153 Edwards Street			L	
A. Goodman Building	1205 Main St			L	HC
	1210 Main St			L	
	1212 Edwards Street			L	
	1214 Main St			L	
Ivy Loeber House	1217 Edwards St			L	
	1218 Main Street			L	
	1219 Main St			L	HC
	1220 Edwards Street			L	
	1220 Madrona Street			L	
	1222 Main St			L	
	1223 Main St			L	
	1227 Edwards Street			L	
	1228 Main St			L	
Site of David Fulton's Saddlery	1230 Main St			L	
	1230 Stockton Street			L	

Name	Address/Location	National Register	California Register	Locally Designated	Contributor to a Historic District
	1234 Madrona Street			L	
	1234 Main St			L	
	1235 Main St			L	HC
	1243 Main Street			L	
	1244 Spring Street			L	
	1248 Stockton Street			L	
	1252 Allyn Avenue			L	
	1257 Stockton Street			L	
	1277 St. Helena Hwy. S.			L	
American Legion Post	1291 Madrona Street			L	
	1305 Stockton Street			L	
Grace Church, Grace Episcopal Church	1314 Spring St			L	
	1321 Main St			L	
	1322 Hudson Avenue			L	
	1325 Main St			L	
	1326 Oak Avenue			L	
Roma Hotel/Miramonte Hotel	1327 Railroad Avenue			L	
	1329 Pine Street			L	
	1329-1321 Allyn Avenue			L	
	1330 Allyn Avenue			L	
	1330 Pine Street			L	
	1331 Stockton Street			L	
	1337 Allyn Avenue			L	
	1340 Pine Street			L	
St. Helena Catholic Church	1340 Tainter Street			L	
	1341 Madrona Street			L	
	1343 Main St			L	
Chiles House, First Baptist Church	1343 Spring St			L	
Owen Wade Building/Smiths Pharmacy	1347 Main St			L	HC
	1354 Pine Street			L	
	1361 Main St			L	
	1362 Stockton Street			L	
	1367 Main St			L	HC
	1370 Main St			L	
	1375 Main Street			L	
	1380 Main St			L	HC
	1410 Adams Street			L	
	1413 Tainter Street			L	
Wall House	1414 Main St			L	
	1417 Kearney Street			L	
	1420 Stockton Street			L	
	1421 Tainter Street			L	
	1426 Kearney Street			L	
	1427 Kearney Street			L	
	1439 Kearney Street			L	
	1451 Library Lane			L	
	1454, 1455 Oak Avenue			L	
	1457 Stockton Street			L	
St. Helena Post Office	1461 Main St			L	
	1467 Kearney Street			L	
Johnsons Depot Saloon, Babes Place	1478 Railroad Ave			L	
	1489 Kearney Street			L	
	1505 Kearney Street			L	
	1508 Spring Street			L	
	1509 Tainter Street			L	
	1512 Hudson Avenue			L	
	1513 Madrona Street			L	
	1515 Main Street			L	
	1518 Adams Street			L	
	1523 Madrona Street			L	

Name	Address/Location	National Register	California Register	Locally Designated	Contributor to a Historic District
	1523 Main Street			L	
	1523 Spring Street			L	
Tilley House	1526 Spring St			L	
	1530 Kearney Street			L	
Boy Scout Hall	1530 Railroad Ave			L	
	1531 Spring St			L	
	1537 Main Street			L	
	1543 Kearney Street			L	
	1545, 1549, 1553 Madrona Street			L	
	1547 Main Street			L	
	1548 Madrona Street			L	
	1549 St. Helena Hwy. S			L	
	1550 & 1558 Main Street			L	
	1550 Railraod Avenue			L	
A. Forni House	1551 Oak St			L	
	1551 Spring Street			L	
	1552 Adams Street			L	
	1556 Allyn Avenue			L	
	1556 Tainter Street			L	
	1570 Main Street			L	
	1603 Main Street			L	
	1615 Main Street			L	
	1623 Spring Mountain Road			L	
	1629 Main Street			L	
	1635 Main Street			L	
	1635 Spring Street			L	
	1657 Stockton Street			L	
	1702 Madrona Street			L	
	1706 Adams Street			L	
Martinelli House	1709 Spring Mountain Rd			L	
John Kelly House, John Mitchell	1735 Spring St			L	
	1758, 1764 Spring Street			L	
	1761 Stockton Street			L	
Schweinitzer House and Winery	1817 Spring St			L	
Vance-Anderson House/St. Gothard's Inn	1830 & 1846 Main Street			L	
Red cottage/Charlotte Chase Starr House	1832 Sulphur Springs Avenue			L	
	1855 Main Street			L	
Kraft House	1902 Madrona Ave			L	
	1933 Spring Street			L	
Methodist church Parsonage	1944 Spring St			L	
	195 Main Street			L	
Beringer Winery	2000 Main Street			L	
Beringer Winery - Sisters' House	2000 Main Street			L	
Dean York House	2070 Dean York Lane			L	
	21 Silverado Trail			L	
	222 Pope Street			L	
White cottage/Captain Chase House	2252 Sulphur Springs Avenue			L	
	2610 Sulphur Springs Avenue			L	
	330 Pratt Avenue			L	
	376 Pratt Avenue			L	
	458 Mills Lane			L	
	514 Pratt Avenue			L	
	609 McCorkle Avenue			L	
	681 McCorkle Avenue			L	
	741 Chart Oak Avenue			L	
	825 Allison Avenue			L	
	825 Fulton Lane			L	
	831 Charter Oak Avenue			L	
	834 Pope Street			L	
	849 Charter Oak Avenue			L	

Name	Address/Location	National Register	California Register	Locally Designated	Contributor to a Historic District
	850 Hunt Avenue			L	
	855 Pratt Avenue			L	
	905 Charter Oak Avenue			L	
	910 Allison Avenue			L	
	916 Hunt Avenue			L	
	917 Allison Avenue			L	
	917 Charter Oak Avenue			L	
	931 Charter Oak Avenue			L	
	933 Main Street			L	
	940 Hunt Avenue			L	
	943 Charter Oak Avenue			L	
	943 Pope Street			L	
	945 Brown St			L	
	951 Pope Street			L	
	957 Charter Oak Ave			L	
	957A Brown St			L	
	957B Brown St			L	
Vista	Alley-Adams Street			L	
Fountain Winery	Dowdell Lane			L	
Alley view of backs of stone and brick commercial buidlings on Main Steet	Money Way Vista			L	
Stone warehouse/Bell Bros. Warehouse	Money Way Vista			L	
	N.E. Corner Oak Street			L	
Spring Mountain Road over York Creek	Near Spring Mountain Road and Dean York Lane			L	
	Oak @ Corner Tainter			L	
Barn	Pine between Stockton & Kearney			L	
Bridge 21C-110	Pope St			L	
Stone Bridge Saloon Site	Pope St at Silverado Trail			L	
	Pope Street Bend & Stone Bridge-View East			L	
G.L. Pratt House	Pratt Avenue			L	
Bridge 21C-113	Spring Mountain Rd			L	
Lewelling Winery	Spring Street			L	
St. Helena Public Cemetary	Spring Street			L	
Bridge #21-16, Sulphur Creek Bridge	SR 29			L	
Church of St. Helena Rectory	Tainter near Oak			L	
South toward St. Helena Elementary School	Vista Tainter			L	
Alberts Rock Wall				L	
HMS Vineyards Historic Stone Wall				L	
Lewelling "Deermount" Ranch		L		L	LDR
Meadowood Historic Road/Path				L	
Terraced Old Olive Orchard				L	
	1225 Adams St				HC
	1225 Main St				HC
	1226 Spring St				HC
	1269 Main St				HC
	1310 Main St				HC
	1310 Oak Ave				HC
	1312 Main St				HC
	1313 Main St				HC
	1316 Main St				HC
	1320 Main St				HC
	1321 Railroad Ave				HC
	1332 Main St				HC
	1339 Main St				HC
	1346 Main St				HC
	1350 Main St				HC
	1355 Main St				HC
	1371 Main St				HC

Name	Address/Location	National Register	California Register	Locally Designated	Contributor to a Historic District
	1379 Main St				HC
Beringer Winery Circulation Routes	2000 Main St				BW
Beringer Winery Stone Wall	2000 Main St				BW
Distillery Building	2000 Main St				BW
Export Bulding	2000 Main St				BW
North House	2000 Main St				BW
Old Winery	2000 Main St				BW
Sherry Shack Complex	2000 Main St				BW
Tour Center	2000 Main St				BW

Sources: NWIC, 2018; City of St. Helena 1978 & 2006; Dyett & Bhatia, 2018

Key
E = Eligible
L = Listed
BW = Beringer Winery Historic District
HC = St. Helena Historic Commerical District
LDR = Lewelling "Deermount" Ranch
Red = Unable to locate

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ST. HELENA
CALIFORNIA

2021 EMPLOYEE HANDBOOK

Adopted January 12, 2021
Resolution No. 2021-6

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RULE 1. GENERAL PROVISIONS

SEC. 1.1 PURPOSE

These Personnel Rules ("Rules") contained within this Employee Handbook are intended to establish and maintain an efficient and uniform personnel program for the City of St. Helena ("City").

SEC. 1.2 APPLICABILITY

The provisions of these Rules apply to all City employees, except those covered by St. Helena Police Department Policy Manual or the St. Helena Fire Personnel Policy Manual. These Rules do not apply to volunteers, interns, elected officials, or contract employees—unless any of the sections in the Employee Handbook specifically provides that it's applicable to these positions or classifications. Temporary employees, including part-time and/or casual employees, are not eligible for any benefits beyond the hourly wage and any benefits required by applicable state or federal law and regulations, unless these Rules specifically state that a listed benefit is granted to temporary employees.

For employees covered by a separate Memorandum of Understanding Pre("MOU") or other formal, written agreement or compensation resolution, specific provisions of such other MOUs, agreements, or compensation resolutions shall supersede and take precedence over the Rules in this Handbook.

SEC. 1.3 NOT AN EMPLOYMENT CONTRACT

None of these Rules shall be deemed to create a vested contractual right, expressed or implied, for any employee.

SEC. 1.4 PRIOR POLICY REPEALED

The terms and provisions of these Rules prevail over the terms and provisions of any prior City Personnel system rule, resolution, regulation, and/or policy governing the personnel program, and such prior personnel program rules, resolutions, regulations, and/or policies are hereby repealed, including, but not limited to, the Employee Handbook adopted by the City Council by adoption of Resolution 90-4 and amended by subsequent Resolutions.

SEC. 1.5 DELEGATION OF AUTHORITY

Except as otherwise provided, any duties, responsibilities, powers, and authority granted by the Rules to the City Manager, Appointing Authority, Human Resources & Information Technology Director ("HR"), Department Head, or any other person may be delegated, in writing, to another designee at the discretion of the delegating individual.

SEC. 1.6 AMENDMENT OF RULES

The City shall have authority to adopt, amend, or repeal these Rules. The City Manager shall have authority to prepare and recommend revisions to the Rules to the City Council.

SEC. 1.7 TERM OF PERSONNEL SYSTEM RULES

These Rules shall take effect when adopted by the City Council of the City. This Employee Handbook shall remain in effect unless repealed, in whole or in part, by the City Council. The City Council may in its sole discretion add to, delete, or otherwise modify these Rules, subject to the following paragraph.

Prior to amendment of these Rules, the City Manager shall comply with applicable requirements of the Meyers-Milias-Brown Act (Government Code Section 3500, *et. seq.*).

SEC. 1.8 VIOLATION OF RULES

Violation of the provisions of these Rules shall constitute grounds for disciplinary action. A violation shall not make disciplinary action mandatory but shall be given such weight as is appropriate in view of all the circumstances.

SEC. 1.9 EMPLOYEE RESPONSIBILITY

It shall be the responsibility of each employee to become aware and be knowledgeable of these Rules.

SEC. 1.10 CONFLICTS

Administrative and/or Department Policies and Procedures

The City Manager or individual City Department Heads may develop and administer supplemental written department policies and procedures as deemed necessary for the efficient, safe, and orderly administration of the City or department. However, no such policies or procedures shall conflict with or supersede these Rules, other City Council resolutions and ordinances, or existing laws, and shall be approved by the City Manager before their implementation.

Copies of department policies and procedures must be distributed to each employee of the department. In the event of a conflict between an administrative or departmental policy or procedure, the provisions of these personnel system Rules shall control. As stated in Section 1.2, these Rules do not apply to employees covered by the St. Helena Police Department Policy Manual or the St. Helena Fire Personnel Fire Manual.

SEC. 1.11 DISTRIBUTION OF PERSONNEL POLICIES

A copy of these Rules shall be posted on the City's website. Each City employee and recognized employee organization shall be informed about the Rules and where to find them. Copies also shall be available in the Human Resources Department. An employee with questions about these Rules may direct them to their immediate supervisor, the Department Head, or to Human Resources.

SEC. 1.12 SEVERABILITY

If any provision, or the application(s) of any provision of these Rules, as implemented, are rendered or declared invalid by any final court action in a court of competent jurisdiction, or by reason of any preemptive legislation, the remaining provision of these Rules shall remain in full force and effect. Nothing in these Rules shall be construed to deny any person or employee the rights granted by federal and state law. The rights, powers and authority of the City Council in all matters, including the right to maintain any legal action, shall not be modified or restricted by these regulations.

SEC. 1.13 CHANGES TO THE LAW

When any local, state, or federal ordinance, regulation, or law that is incorporated in the Rules or upon which the Rules rely is amended, the Rules shall be deemed amended in conformance with those amendments.

SEC. 1.14 DEFINITION OF TERMS

A. General Definition.

All words and terms used in these Rules and in any resolution or ordinance dealing with personnel policies, system, or procedures shall be defined as they are normally and generally defined in the field of personnel administration unless a specific definition is provided for herein.

B. Specific Definitions.

1. Acting Appointment (also known as Temporary Upgrade Pay or Out-of-Class Pay). An appointment to temporarily perform the duties of a higher position. The person filling this position must meet the minimum standards or qualifications of the position. Acting appointments are held on an at-will basis by current City employees.

2. Advancement. A salary increase within the limits of a pay range established for a class.

3. Allocation. The assignment of a single position to its proper class in accordance with the duties performed, and the authority and responsibilities exercised.

4. Anniversary Date. The date upon which a person is appointed to a position or as modified according to these Rules. The date determines eligibility for a salary step increase except as modified according to these Rules.

5. Applicant. Any person submitting a formal completed application for employment with the City.

6. Appointing Authority. Consistent with the requirements, and subject to the exceptions of the St, Helena Municipal Code, the City Manager or their designee is the Appointing Authority for City employees. The City Council shall appoint the City Manager, the City Attorney, and the Fire Chief.

7. Appointment. The offer to, and acceptance by, an individual for a position in the competitive service.

8. At-will Executive Management Employee. An employee who serves at the will of the City Manager and who has responsibility for formulating, administering, and/or managing City policies and programs. In the City, this would typically be department heads.

9. Average Work Day (for part-time employees only). An Average Work Day refers to the average number of hours actually worked per work day, considering a five (5) day work week. This applies to part-time employees only. In any case for which the time period to be considered is twelve (12) calendar months, the average work day is the number of hours worked in the preceding twelve (12) months, divided by two thousand eighty (2080), and then multiplied by eight (8).

10. City. The City of St. Helena, California.

11. City Council. The City Council of the City of St. Helena, California.

12. City Manager. The City Manager of the City of St. Helena, California, or their designee.

13. City Service. All positions in all departments and agencies of the City that are subject to control and regulation by the City of St. Helena.

14. Class. The grouping together of those positions similar in duties, authority, responsibility, and ability. Each class shall be assigned a separate class title.

15. Class Specification. The official description of a class including: (1) the title, (2) a definition, (3) a statement of the duties and responsibilities, and (4) the employment standards, such as education, experience, knowledge, and skills and abilities which may be required of applicants.

16. Classification. The action of assigning a position to a class, that is, a particular type of employment in the City Service designed to include all positions having duties and responsibilities sufficiently similar so that the same requirements as to education, experience, knowledge, and ability may be required of incumbents and the same schedule or compensation may fairly be made to apply.

17. Compensation. The salary, wage, allowance, and all other forms of valuable consideration earned by or paid to any employee by reason of service in any position, but does not include expenses authorized and incurred incidental to employment.

18. Compensatory Time Off. As provided for by the Fair Labor Standards Act, time off from work in lieu of monetary payment for overtime work.

19. Competitive Service. All positions of employment in the service of the City except those excluded by the employee handbook.

20. Confidential Employee. An employee, who in the course of their duties, has access to confidential information relating to the City's administration of employer-employee relations. This definition shall also include those bargaining unit covered employees, who in the course of their duties, have access to confidential information relating to the City's administration of employer-employee relations and are consequently excludable from holding a bargaining unit office and/or divulging confidential employer information to any bargaining units. This access may include instances of an occasional but critical nature or due to the employee whose position requires the incumbent to provide direct administrative support to a manager who has such access.

21. Continuous Service. Length of uninterrupted employment (including holidays and authorized paid or unpaid leave, but not including other periods of leave without pay or times on suspension, in a regular position) that is measured from the effective date of appointment until separation.

22. Contract Employees. Those individuals employed by the City pursuant to the terms of an individual employment contract that sets forth terms and conditions of employment. Contract employees are

at-will employees, are not part of the Competitive Service, and may be terminated without cause and without right to appeal.

23. Day or Days. Calendar days unless otherwise stated.

24. Demotion. The movement of an employee from one class to another class having a lower maximum base rate of pay.

25. Department Head. The individuals designated as the administrative head of a City department. A member of the managerial staff of the City, consisting of the City Manager, the Fire Chief, the Police Chief, the Director of Public Works, the Planning Director, the Library Director, the Recreation Director, and the Finance Director.

26. Disciplinary Action. The discharge, demotion, reduction in pay, or suspension of a regular or management employee for punitive reasons.

27. Domestic Partner. A person who has filed a Declaration of Domestic Partnership with the California Secretary of State pursuant to California *Family Code* section 297 *et. seq*.

28. Employee. A person who is legally occupying a position in the City's service, other than an independent contractor.

29. Eligibility List. The list which contains the names of successful applicants according to relative performance on the total weighted examinations.

30. Exempt Employees. Employees whose duties and responsibilities allow them to be "exempt" from overtime pay provisions as provided by the Fair Labor Standards Act (FLSA) and any applicable state laws.

31. Full-Time Employees. Employees who are regularly scheduled to work 40 or more hours per week. All Positions shall be full-time unless otherwise designated, or unless the compensation is fixed upon the basis of part-time work.

32. Human Resources or HR. The Human Resources Director & Information Technology Director of the City of St. Helena, California, or their designee.

33. Internal Recruitment. A recruitment for a particular position that is open to regular and probationary employees only.

34. Lay-Off. The separation of employees from the active work force due to lack of work or funds, or to the abolition of positions by the City Council for the above reasons or due to organization changes.

35. Management. Those employees holding the position of Department Director or higher.

36. Memorandum of Understanding (MOU). An Agreement reached as a result of meeting and conferring on hours, wages, and working conditions in accordance with California law and City ordinances, resolutions, and rules.

37. Mid-Manager/Mid-Management Employee. An employee whose position is just below the Department Heads or City Manager and is responsible for managing a distinct responsibility area. Mid-Managers are in regular City service and are not at-will.

38. Minimum Qualifications. The minimum requirements for an applicant to be considered for a particular City position, which vary according to the position sought.

39. Non-exempt Employees. Employees who hold positions that, by the nature of the job requirements or the salary earned, is entitled to earn compensation at an overtime rate. Non-exempt status is based on applicable law, including, but not limited to the federal Fair Labor Standards Act ("FLSA").

40. Open-Competitive Recruitment. A recruitment for a particular position that is open to all interested applicants.

41. Overtime. As defined by the Fair Labor Standards Act.

42. Part-Time Employees. Employees who are regularly scheduled to work fewer than forty (40) hours per week.

43. Position. A specific office or employment provided by the budget, whether occupied or vacant of limited term or regular term, and requiring the performance of certain duties and responsibilities assigned or delegated by the Appointing Authority.

44. Probationary Period. A period to be considered an integral part of the examination, recruiting, testing, and selection process during which an employee is required to demonstrate fitness for the position to which the employee is appointed by actual performance of the duties of the position, and during which an employee may be rejected from the position without cause and without right of appeal.

45. Promotion. The movement of an employee from a position in one class to a vacant position in another class having a higher maximum base rate of pay.

46. Provisional Appointment. An appointment of a person who is not a current employee and who possesses the minimum qualifications established for a particular class due to the absence of available eligible candidates.

47. Reclassification. Modification of job title and corresponding salary range adjustment supported by an appropriate classification analysis prepared under the direction of HR, which identifies a change in level of difficulty, job requirements, or job responsibilities between the existing job description and actual job duties.

48. Reduction in Pay. A temporary or permanent decrease in an employee's rate of pay for disciplinary reasons.

49. Reemployment. The restoration of a former regular employee to a classification in which the employee formerly served as a regular non-probationary employee prior to being laid off from the City.

50. Reemployment List. A list of names of regular employees who have been laid off from a position.

51. Regular Employee. An employee in a full-time position within the competitive service who has successfully completed the probationary period and has been retained as hereafter provided in these Rules.

52. Regular Position. A full-time budgeted position of indefinite duration to be filled by a Regular Employee.

53. Reinstatement. The restoration without examination of a former employee or probationary employee to a classification in which the employee formerly served.

54. Rejection. The involuntary separation from the City service of an employee who has not successfully completed the probationary period for a position, or the demotion of an employee who did not successfully complete the employee's promotional probationary period.

55. Resignation. The voluntary separation of a City employee from the City service.

56. Salary Range. The range of salary rates for a class; the classifications may be paid on an hourly or salaried basis, as applicable, and the term "salary" is utilized as a general term for cash compensation paid either an hourly or salaried basis.

57. Salary Rate. The dollar amount of each step in a salary range, or the flat dollar amount for a class not having a salary range.

58. Salary Step. The minimum through maximum salary increments of a salary range.

59. Seniority. An employee's status in relation to other employees based first on years of service in a particular class and then on total years of service at the City.

60. Standby. A period or condition which requires that an employee be able to readily report to work and be prepared to undertake work tasks. This normally includes either remaining at their home telephone or otherwise arranging for the immediate and convenient notification of an emergency condition and being prepared to timely report to the site of the work assigned.

61. Supervisor. The mid-management staff of the City, including the designated assistant to a Department Head or the head of a sub-department or a division of a department.

62. Suspension. The temporary separation from service of an employee without pay for disciplinary purposes.

63. Temporary Employee. An employee who is appointed for a limited period of time for a specified, limited purpose. A temporary employee is generally classified as a casual worker, and is given a working title, but is not appointed to a position.

64. Termination. Separation from City employment for disciplinary reasons or as a result of rejection during a probationary period.

65. Transfer. The movement of an employee from one position to another vacant position in the same class or to a vacant position in another class with the same maximum base rate of pay that has similar job duties and qualifications.

66. Vacancy. An unfilled authorized position in the City employment.

67. Work Day. (1) One calendar day during which an employee is normally scheduled to work; if the employee is engaged in shift work that begins on one calendar day and ends on the following day, only

one work day is denoted. (2) The number of hours of work contained in a calendar day for a given employee.

SEC. 1.15 NON-DISCRIMINATION

A. Equal Employment Opportunity.

The City is committed to a policy of equal opportunities for applicants and employees. The City does not discriminate against applicants or employees (including interns, volunteers, and contractors, regardless of their classifications), with respect to terms or conditions of employment based on race, religious creed, color, national origin, ancestry, sex, age, physical or mental disability, medical condition, sexual orientation, marital status, gender identity, gender expression, genetic characteristics or information, military and veteran status, and/or any other category protected by federal and/or state law, nor does the City discriminate against applicants or employees (including interns, volunteers, and contractors, regardless of their classifications) who are perceived to have such characteristics or who associate with an individual having such characteristics. Every reasonable effort will be made to provide an accessible work environment for such employees and applicants.

B. Disabled Applicants and Employees.

Employment practices (*e.g.*, hiring, training, testing, transfer, promotion, compensation, benefits, and discharge) will not discriminate against disabled employees or applicants. The City will engage in the interactive process, as defined by the Americans with Disabilities Act ("ADA") and the Fair Employment and Housing Act ("FEHA"), to determine whether an applicant or employee is able to perform the essential functions of their position. During this process, the City will examine possible reasonable accommodations that will make it possible for the employee or applicant to so perform.

1. Request for Accommodation. An applicant or employee who desires a reasonable accommodation in order to perform essential job functions should make such a request in writing to the Human Resources Department. The request must identify: (1) the job-related functions at issue; and (2) the desired accommodation(s). Reasonable accommodation can include, but is not limited to, job restructuring, reassignment to a vacant position for which the employee is qualified, leaves of absence, and making facilities accessible.

2. Reasonable Documentation of Disability. Following receipt of the request, the Human Resources Department may require additional information, such as reasonable documentation of the existence of a disability or additional explanation as to the effect of the disability on the employee's ability to perform their essential functions, but will not require disclosure of diagnosis or genetic history.

3. Interactive Process. The City will engage in the interactive process, as defined by the FEHA and ADA, to determine whether an applicant or employee is able to perform the essential functions of their position. During this process, the City will examine potential reasonable accommodations that will make it possible for the employee or applicant to so perform. Such interactive process may include a meeting with the employee or applicant, the City, and will typically include information from the employee's or applicant's health care provider.

4. Case-by-Case Determination. The City determines, in its sole discretion, whether reasonable accommodations(s) can be made, and the type of reasonable accommodations(s) to provide. The City will not provide an accommodation that would pose an undue hardship upon the City or that is not required by law.

5. Fitness for Duty Leave. While the City is engaged in the interactive process with an employee, the City may require that the employee be placed on a fitness for duty leave.

6. Medical Examinations.

Following a conditional offer of employment, prospective employees in a designated classification could be required to complete a post-offer, pre-employment medical examination. The City may require that employees take a psychological and/or a medical examination, as it deems necessary in order to determine employees to be mentally and physically capable of performing the essential functions of the job. Conditional offers of employment are made contingent upon passing this medical examination; however, the City will make reasonable accommodations to the special needs of any disabled individual as required by law. A licensed health care provider chosen by the City will perform such examination without cost to the prospective employee. The prospective employee will be required to complete a medical history questionnaire and a medical records release as necessary to facilitate the examination. The health care provider will indicate the employee's fitness for employment on the examination form. In the event the examination is not completed prior to the employee's scheduled start date, only a temporary appointment may be made. Probationary appointment will be contingent on a satisfactory examination.

Depending on the essential functions of a position, a medical examination may be required for:

(a) Applicants who have received a conditional offer of employment;

(b) Employees seeking a transfer from one position requiring general physical abilities to another position requiring physical abilities of a specific and different nature;

(c) Employees returning to work from a medical leave of absence, subject to any restrictions imposed by the California Family Rights Act. The physician conducting the medical examination will be supplied with a current job description indicating the essential functions of the position; or

(d) When a supervisor observes or receives a reliable report of an employee's possible lack of fitness for duty. Observations and reports may be based on, but are not limited to, employee's own self-report of potential unfitness, dexterity, coordination, alertness, speech, vision acuity, concentration, response to criticism, interactions with the public, co-workers, and supervisors.

The results of all medical examinations will be kept confidential. Examination results for newly hired employees and employees transferring to another position will be kept in the employee's confidential medical file. No employee will hold any position in which the employee is not able to perform the essential functions of the job, with or without reasonable accommodation.

7. Prevention of Harassment/ Discrimination/Retaliation.

City policy prohibits harassment and discrimination based on an employee's race, color, ancestry, national or geographical origin, ethnicity, sex, gender, sexual orientation, gender identity, gender expression, age, religious or political affiliation or belief, creed, physical or mental disability, medical condition, genetic information, marital or registered domestic partner status, membership in or attitude toward any employee organization, military or veteran status, and/or any other category protected by federal and/or state law. In addition, City policy prohibits retaliation because of the employee's opposition to a practice the employee reasonably believes to constitute employment discrimination or harassment or because of the employee's participation in an employment investigation, proceeding, or hearing.

Employees who believe they have been harassed, discriminated against, or retaliated against, should report that conduct to their own supervisor, any City Supervisor or Department Head, or the Human Resources Department and the City will investigate those complaints. For more information regarding the policy and complaint procedures, employees should review the City's policy against harassment, discrimination, and retaliation under Rule 16 of the Handbook.

RULE 2. CLASSIFICATIONS

A. The Human Resources Department, with the assistance of the Department Head, will prepare written job descriptions for each class of positions.

B. Each job description will include the class title, a brief description of the scope, nature, and responsibility of the class, and a description of the tasks

or duties ordinarily performed in the positions allocated to the class which includes a statement of the minimum qualifications considered necessary for proficient performance of the work, including education, experience, training, knowledge, skills, physical characteristics, and any additional factors considered pertinent. Job descriptions are not restrictive. While job descriptions will include essential functions of positions, they shall not be construed as an all-inclusive list of tasks performed; or be interpreted as restricting the assignment of related tasks not specifically listed therein; or as limiting the authority of supervisory personnel to assign, direct, and control the work of subordinate employees. A supervisor may assign other related duties and responsibilities or otherwise direct the work of employees.

C. Substantive revisions to job descriptions that are associated with substantive changes to the duties performed by a particular class shall be subject to approval by the City Council. Non-substantive changes, such as to reflect previous, gradual changes to the conditions in which work is currently performed or to improve accuracy in describing the class or position title or non-substantive details associated with job duties already performed, may be approved administratively by the City Manager and are not subject to approval by the City Council.

D. Each job description will identify the date of approval or last revision.

E. The City Manager shall ascertain and record the duties and responsibilities of all positions in the City and shall prepare a classification plan for such positions. The classification plan shall consist of classes of positions defined by class specification, including the title. The classification plan shall be so developed and maintained that all positions substantially similar with respect to duties, responsibilities, authority and character of work are included within the same class.

F. The City's classification plan is continually reviewed, based on the job analysis, and utilized for decision making on compensation, selection, employee development, career advancement, and other personnel activities. The City Manager shall ascertain and record the duties and responsibilities of all positions in competitive service and prepare a classification for such positions.

G. Each position shall be allocated to the appropriate class in accordance with the character, difficulty, and responsibility of its assigned duties. Positions in a single class shall be sufficiently similar to permit substantially the same level of skill, knowledge, ability, and other qualifications required of incumbents, same or similar selection method to select incumbents, and the same schedule of compensation.

H. The City Manager shall prepare the proper assignment of any new positions to a class in the classification plan or, when appropriate, create a new class. When a new position is created and is classified before it is occupied, the position shall be subject to review by the City Manager after it is occupied to determine if the incumbent is performing the duties of the class.

I. The reclassification plan may be amended from time to time. The assigned duties of positions that have been materially changed by the City so as to necessitate reclassification, whether new or already created, shall be allocated by the City Manager to a more appropriate class. Reclassification shall not be used for the purpose of avoiding restrictions concerning demotions and promotions, nor to affect a change in salary in the absence of a significant change in assigned duties and responsibilities. During the process of consideration of the impacts of such amendments, recognized employee organization(s) affected shall be notified as required by the Meyers-Milias-Brown Act (Government Code Section 3500 *et. seq.*).

J. The City Manager may approve the relocation of a position to a different class or approve the creation of a new class whenever the duties of the position change materially. This may occur upon the recommendation of the Department Head or upon the request of an employee and with concurrence of the Department Head. When any change is made within a Department that significantly affects the duties and responsibilities of any position, the Appointing Authority shall report these facts in writing to the Human Resources Department. The Human Resources Department may study the allocation of any position in the classification plan and make recommendations to the City Manager for a change in class or the allocation to a more appropriate class. The Department Head shall be consulted before a classification study begins in their department.

RULE 3. COMPENSATION

SEC. 3.1 SALARY ON APPOINTMENT

A. New Employees. New employees shall be paid at the first step of the salary range (*i.e.* Step A) for the position to which the employee is appointed except as provided for elsewhere in these Rules.

B. Advanced Step Hiring. The City Manager may appoint a new employee to an advanced step of the pay range if it is determined that qualified applicants cannot be successfully recruited at the first step of the salary range.

C. Reemployment. A person who previously held a position with the City and was in good standing may, at the discretion of the City Manager, when

reemployed in a position with the same or lower pay range than held at separation, be appointed at the same salary rate which was paid at the effective date of the person's termination, or the nearest lower applicable step for the range to which the person is appointed.

D. Salary Schedule. Salaries paid and any special compensation shall be in accordance with these Rules and the most recent applicable Salary Resolution adopted by the City Council and any amendments thereto. Such Resolutions are hereby incorporated as part of these Rules and are available from the City Clerk.

E. Temporary Employees and Special Salaries. Salaries for temporary employees and special salaries and incentive payments shall be in accordance with a Salary Resolution adopted by the City Council or as set forth in the applicable Municipal Code.

F. Hourly Rates. Where any bi-weekly pay rate is to be converted to a salary hourly equivalent, the bi-weekly rate of pay shall be divided by 80 to determine the hourly rate. Daily rates are equivalent to the appropriate hourly rate multiplied by eight hours.

SEC. 3.2 SALARY ANNIVERSARY DATES

Employees shall have a salary anniversary date of their date of hire. Employees who have been promoted or demoted since their date of hire shall have a salary anniversary date of their date of promotion or demotion, as applicable. The salary anniversary date may be modified by the action of the Appointing Authority.

SEC. 3.3 INCREASES WITHIN SALARY RANGE

Employees will normally become eligible for an adjustment in pay after having served satisfactorily for the designated qualifying period and after a performance report evaluation--typically six (6) months of service in the first or starting step. The adjustment shall be made only if recommended by the employee's supervisor, and if approved by the City Manager. The remaining steps are incentive adjustments, based on performance evaluation, to encourage an employee to perform at their highest level, and to recognize seniority and increased skill on the job. Employees are normally eligible for these adjustments any time after the completion of six (6) months of service at the preceding step, until step D, at which time the qualifying period to become eligible for Step E is the completion of twelve (12) months of service at the preceding step. This period may be shortened or extended in conjunction with the performance report recommendations and as approved by the City Manager.

In general, an employee becomes eligible for the next higher step based on the following schedule:

- Six (6) months at Step A to become eligible for Step B;

- Six (6) months at Step B to become eligible for Step C;
- Six (6) months at Step C to become eligible for Step D;
- Twelve (12) months at Step D to become eligible for Step E.

Other regular employees may be granted a step increase after having served for the designated qualifying period and after a performance evaluation finding that the employee's performance was not less than satisfactory.

In unusual cases, upon recommendation of the Department Head, where special ability or aptitude is demonstrated, the Manager may approve advancement of an employee to a higher step before completion of the normal qualifying period.

SEC. 3.4 SALARY UPON PROMOTION

Except in instances where the granting of a full step increase would result in a salary in excess of the top step of the salary range, any employee who is promoted to a position in a class with a higher salary range shall be placed on the step in the new higher range which is at least equal to an advancement of 5% over their prior step. If the maximum of the range would be exceeded by such advancement, the employee shall receive the top step of the range. An employee thus promoted is assigned to a new salary anniversary date effective on the date of promotion.

SEC. 3.5 SALARY ON DEMOTION

Any employee who is demoted to a position in a class with a lower salary range shall have their salary reduced to a salary step in the range for the lower class which is:

A. If a disciplinary demotion, one or more steps less than that received in the salary range for the class from which the employee is demoted. A new salary anniversary date shall be established on the basis of the demotion.

B. If a non-disciplinary demotion, the step the employee would have attained in that lower class if their services had been continuous in the said lower class with the same level of performance and length of service. The employee shall retain their salary anniversary date.

SEC. 3.6 ACTING PAY, TEMPORARY UPGRADE PAY OR OUT-OF-CLASS PAY

A. <u>Acting Pay/Temporary Upgrade Pay.</u>

An employee may be required on the basis of an acting appointment to serve in a class with a higher salary range than that of the class in which the employee is normally assigned. The City Manager has the discretion to provide such an employee with additional pay, up to ten percent (10%) of the employee's current base rate of pay, during the acting period, provided the following classifications are met:

1. The employee shall possess the minimum qualifications for the higher class, and perform all the duties and assume the assigned additional responsibilities of the higher Class, and

2. The acting appointment is made in writing.

This additional pay is provided at the City Manager's sole discretion and must be pre-approved in writing.

Whether the additional pay is reportable compensation for retirement purposes shall be subjected to applicable laws and regulations. Under current CalPERS rules and regulations, any additional pay for performing partial duties of the higher class shall not be reportable special compensation.

B. Out-of-class Pay.

An employee may be temporarily assigned to perform substantial functions of a higher classification for at least a period of one month (1) but may not perform those additional duties on a full-time basis (2) and/or the employee assigned to the position normally responsible for the duties is not absent.

The City Manager has the discretion to provide an increase of up to ten percent (10%) of the employee's current base rate of pay, effective on the first day of assumption of the substantial additional duties and continuing until the City Manager determines that the assignment of the additional duties ceases.

This additional pay is provided at the City Manager's sole discretion and must be pre-approved in writing.

Whether the additional pay is reportable compensation for retirement purposes shall be subjected to applicable laws and regulations. Under current CalPERS rules and regulations, any additional pay for performing partial duties of the higher class shall not be reportable special compensation.

Acting Pay, Temporary Upgrade Pay and Out-of-Class Pay shall be reported in accordance with the requirements of Government Code Section 20480.

C. Reporting Time Worked.

Non-exempt employees are responsible for reporting on a City form all hours worked and leave taken during the pay period, and these employees are responsible for securing approval of their immediate supervisor on the City form, indicating approval of all the hours submitted.

SEC. 3.7 PAY PERIODS

A. The salaries and wages of all employees are paid bi-weekly, generally on Friday following the end of the pay period.

B. The City Manager retains discretion to change the timing of future pay periods. Should the City Manager decide to implement this change, employees will receive written notice of the intended change before the next pay day.

C. In the event a pay day falls on one of the holidays listed in these rules, the immediately previous working day shall become the pay day.

RULE 4. APPLICATIONS, RECRUITMENT AND EXAMINATIONS

SEC. 4.1 VACANCIES

A. Vacant regular positions, as defined above, may be filled only by selection from an eligibility list, by acting or provisional appointment, by transfer, by reinstatement, or by demotion. Selection of employees for positions is made by the City Manager after considering recommendations from the Department Head.

B. When a position becomes vacant, the City Manager shall be notified by the supervisor responsible for the position regarding the need to fill the vacancy, and the requested method for filling the vacancy.

C. Announcements of all vacant positions will be publicly posted through online or on City bulletin boards at the discretion of the Human Resources Department or the City Manager.

D. Appointing Authority.

1. Appointment of temporary and part-time employees shall be by the Department Head with the approval of the City Manager.

2. Appointment of full-time employees shall be by the City Manager.

3. Appointment of Department Heads shall be by the City Manager in accordance with applicable provisions of the Municipal Code.

SEC. 4.2 ANNOUNCEMENT OF VACANCIES/ACCEPTANCE OF APPLICATIONS

A. If a continuing need for the position exists, the City Manager will determine whether to conduct an initial internal recruitment or proceed directly to an open-competitive recruitment.

B. The City Manager may conduct an internal recruitment when he or she determines, in their sole discretion, that doing so is in the best interest of the City.

C. If the position will be filled by open-competitive recruitment, then the City Manager (or the City Manager's designated individual) will publicly advertise the position by a written announcement setting forth the basic requirements for the job, a closing date for acceptance of applications, and information where applications and the job description can be obtained.

D. If the City Manager determines that an initial internal recruitment will be conducted, then the City Manager will limit all initial advertisement for the position to current employees only and will initiate the examination process, ending with an interview with the responsible supervisor.

E. The City Manager in their discretion may designate the internal recruitment as a "Promotional Recruitment." An internal Promotional Recruitment will only be open to current employees for which the open position would be a promotion.

F. As part of an initial screening process, employees who achieved a rating of "Does Not Meet Expectations" on their most recent performance report will be disqualified from further consideration at the first step of the internal recruitment.

G. Following completion of the interview process for internal applicants and scoring of candidates, the supervisor will provide the City Manager with a written recommendation, as follows:

1. The internal eligibility list should be used to extend a conditional offer of employment; or

2. Cause exists as set forth in Section 4.3 to abolish the internal eligibility list and proceed with an open-competitive recruitment for which any prior internal candidates may re-apply.

H. If in the City Manager's sole discretion, the City Manager finds cause to abolish the internal eligibility list, the affected applicants will receive written notice of this action and of the opportunity to re-apply in connection with the open-competitive recruitment.

I. For all recruitments, applications will be available in the Human Resources office of and online through the City's website. Applications will be collected by Human Resources until the closing date specified in the announcement for acceptance of applications.

SEC. 4.3 ELIGIBILITY LIST/SELECTION TESTING

Following the closing date for applications, and completion of the examination process, an eligibility list shall be created.

A. Criminal Conviction History.

1. The City shall not ask any applicant for employment to disclose, through any written form or verbally, at any time, information concerning an arrest or detention that did not result in conviction, or information concerning a referral to, and participation in, any pre-trial or post-trial diversion program, or concerning a conviction that has been judicially dismissed or ordered sealed pursuant to law, including, but not limited to, Sections 1203.4, 1203.4a, 1203.45, and 1210.1 of the Penal Code.

2. Unless otherwise required by law, the City shall not ask an applicant for employment to disclose, orally or in writing, information concerning the conviction history of the applicant, until the City has made a conditional offer to the applicant.

B. Examination Process and Background Screening.

1. Examinations shall be conducted and used to aid in the selection of qualified employees. They shall consist of recognized selection techniques that will fairly test the qualifications of candidates and shall be job-related. Examinations may include, but are not limited to, written tests, personal interviews, performance tests, physical agility tests, evaluation of daily work performance, work samples, or any combination thereof. The City Manager or designee may set minimum standards for all tests.

2. Classifications designated by the City shall have their fingerprints submitted for clearance through the California Department of Justice and other agencies as deemed appropriate. Fingerprints will be submitted using the "LiveScan" process and in accordance with applicable state, federal, and local laws regarding the LiveScan process.

3. The City also retains the right to conduct a thorough background check of each applicant. When conducting background checks on applicants, the City shall comply with all requirements of the Federal Fair Credit Reporting Act and the California Investigative Consumer Reporting Agencies Act.

4. Upon scoring of all selection components, the names of applicants will be placed on eligibility lists, ranked according to scores.

5. In case of tied scores, the following rules shall apply:

(a) For purposes of placement on the eligibility list, if an applicant who has a tied score is a veteran, as that term is defined

in Section 50088 of the California Government Code, or as may be amended, the tie will be broken in favor of the veteran, such that the veteran will be placed at a higher position than the non-veteran.

(b) All other candidates with tied scores shall be listed in alphabetical order.

C. Duration of Eligibility Lists.

1. Eligibility lists shall become effective upon the City Manager's certification that the lists represent the relative evaluations of the candidates whose names appear on them.

2. Unless otherwise provided in these Rules, eligibility lists shall be effective for a period of one (1) year from the date of their establishment, provided that the City Manager may extend the period not to exceed an additional twelve (12) months. The City Manager may abolish for cause an eligibility list at any time and request a new recruitment and the preparation of a new eligibility list for any class or position. Two (2) or fewer names of qualified candidates available for appointment on an eligibility list constitute sufficient cause for abolishing an eligibility list, but it is not the sole reason constituting cause.

D. Removal of Names from Eligibility Lists.

1. The City Manager may remove the name of any eligible candidate from an eligibility list for any of the following reasons:

(a) On evidence that the eligible candidate cannot be located by postal authorities:

Failure to reply within five (5) business days to a letter requesting information as to availability for appointment, or failure to notify the Human Resources Department of any change of address resulting in the return of letters without forwarding by the U.S. Post Office, will be considered grounds for removal. A candidate who is notified of their removal under this section may request in writing that the City Manager restore their name to the eligibility list. Such a request may be granted if, in the City Manager's sole discretion, an acceptable reason exists for the candidate's failure to reply to a notice requesting availability for appointment or failure to file a notice of a changed address. Upon receipt of a verbal or written statement from the eligible candidate declining appointment and stating that the employee wishes their name to be removed from the eligibility list.

(b) If an offer of regular full-time employment in the class for which the eligibility list was established has been declined by the eligible candidate.

(c) If an eligible candidate on a promotional eligibility list leaves the City service.

(d) After a determination has been made by the City Manager that the candidate does not meet job-related standards.

E. Availability of Candidates. It shall be the responsibility of eligible candidates to notify the City in writing of any change of address or other change affecting availability for consideration for appointment.

F. Disqualification based on Criminal Conviction History.

1. If a background screening discloses a previous criminal conviction, the City Manager will make an individualized assessment of whether the applicant's conviction history has a direct and adverse relationship of the job that justify denying the applicant the position. In making the individualized assessment, the City Manager will take into account a number of factors in determining whether to disqualify the applicant or rescind a conditional offer, if any. Such factors may include the nature of the position, nature and gravity of the conviction, length of time since conviction, and completion of any resulting incarceration or probation.

2. If the City Manager disqualifies the candidate based on the conviction history, the City will provide written notification along with a copy of the criminal history report, if any. In the City's written notice, an explanation of the applicant's right to respond to the notice of the City's preliminary decision before the decision becomes final and the deadline by which to respond will be included. In the notice, the City will also inform the applicant that the applicant's response may include submission of evidence challenging the accuracy of the conviction history report that is the basis for rescinding the offer, evidence of rehabilitation or mitigating circumstances, or both.

3. The applicant shall have at least five (5) business days to respond to the City's notice before the City makes a final decision. If, within the five (5) business days, the applicant notifies the City in writing that the applicant disputes the accuracy of the conviction history report that was the basis for the preliminary decision to possibly rescind the offer and that the applicant is taking specific steps to obtain evidence supporting that assertion, the applicant shall have five (5) additional business days to respond to the notice.

4. If the City, upon reviewing the applicant's response, makes a final decision of disqualification, the City shall notify the applicant its final decision in writing.

G. Conditional Offer of Employment.

All job applicants are required to submit to a physician's examination, and depending on the Position, may also be required to submit to a drug screen, at the City's expense, upon being made a conditional offer of employment. No job commitment shall be made until a negative drug screen result is obtained, where applicable, and a physician has certified that the applicant is medically fit to perform the essential functions of the Position, with or without reasonable accommodation. When the applicant reports to the medical facility for the scheduled examination, personal identification shall be provided to the facility in the form of a photograph and verifiable signature (for example, a driver's license). All test results will be kept confidential. The applicant will be told whether the tests were passed or failed, but only the City Manager, the Human Resources Director, and their designee(s) will have access to the test results, on a need-to-know basis.

H. Employment Oath.

1. All employees of the City must complete and sign the Oath or Affirmation of Allegiance for Public Officers and Employees on the first day of employment or as soon thereafter as practicable in accordance with Section 3 of the Constitution of the State of California.

2. A signed copy will be included in the employee's personnel file.

RULE 5. APPOINTMENTS

SEC. 5.1 APPOINTMENT OF NEW EMPLOYEE

The hire date of a new employee shall be that of the first day actually worked.

SEC. 5.2 PROVISIONAL APPOINTMENTS

A. It shall be the policy of the City to require all supervisors and other appointing authorities, whenever possible, to notify the City Manager of impending or anticipated vacancies in their departments sufficiently in advance so as to allow for the establishment of an appropriate eligibility list. However, when the demands of the services are such that it is not practicable to give such notification and if it is not practicable to delay appointment until a new eligibility list can be certified, the Appointing Authority may make a provisional appointment to the position. As soon as practicable, but not longer than six (6) months after a provisional appointment has been made, the City Manager may cause an examination to be prepared, and all positions filled provisionally shall be filled by an appointment from an eligibility list. Provisional appointments are not intended to be long-term and shall not exceed a total of six (6) months.

B. A person appointed to a position on a provisional basis shall not be entitled to credit for the time served under the provisional appointment toward the completion of their probationary period and shall be entitled to the same salary and other benefits as an applicant appointed from an eligibility list except that the employee may not be employed under the provisional appointment for longer than the period authorized herein.

C. No preference shall be allowed in any examination or the establishment of any eligibility lists for a position for an applicant who rendered service in that position under a provisional appointment.

SEC. 5.3 ACTING APPOINTMENTS TO A HIGHER CLASS

An acting appointment may be made of a current employee to a higher class or position occupied by a person on temporary leave or disability. Upon the return of the incumbent from leave or disability, the acting appointment shall be immediately terminated, and the appointee shall resume the duties and receive the compensation and privileges as if the employee had continued their duties in their previous classification.

SEC. 5.4 REINSTATEMENT

The City Manager may reinstate any person who has resigned in good standing, provided that such reinstatement is accomplished within one (1) year of the date of resignation, or as otherwise required by law. Such reinstatement action may, at the discretion of the City Manager, take precedence over any eligibility list except a reemployment list. Any person so reinstated shall be subject to a new probationary period of the same length as established for new appointees to a position in the class, unless excused by the City Manager.

SEC. 5.5 TRANSFER

A. The City Manager may institute a voluntary or involuntary transfer of an employee from one position to another vacant position in the same class or to a vacant position in a comparable class at the same salary level.

B. An employee who has achieved a rating other than "Does Not Meet Expectations" on their most recent performance evaluation may initiate a request for voluntary transfer to an available position in the same Class for which a recruitment has not yet opened, and for which the employee meets the minimum qualifications, by submitting a request in writing to the supervisor. The supervisor will issue a written recommendation to the City Manager as to whether to proceed with an internal recruitment or open-competitive recruitment, or to exercise the discretion to grant the employee's transfer request.

C. While the City Manager retains sole discretion whether to institute voluntary and involuntary transfers, consideration will be given to the affected employee's and the supervisor's wishes.

SEC. 5.6 NEPOTISM

A. Definitions.

1. Applicant. A person who applies for a position at the City and is not a current employee.

2. Change of Status. A change in the legal status or personnel status of one or more current employees.

(a) Changes in legal status include, but are not limited to, marriage, divorce, separation, or any such change through which a current employee becomes a family member or ceases to be a family member of another current employee.

(b) Changes in personnel status include, but are not limited to, promotion, demotion, transfer, resignation, retirement, or termination of a current employee who is a family member of another current employee.

3. Current Employee. A person who is presently a City employee or an elected or appointed City official.

4. Direct Supervision. One or more of the following roles, undertaken on a regular, acting, overtime, or other basis shall constitute "Direct Supervision":

(a) Occupying a position in an employee's direct line of supervision;

(b) Functional supervision, such as a lead worker, crew leader, or shift supervisor; or

(c) Participating in personnel actions including, but not limited to, appointment, transfer, promotion, demotion, layoff, suspension, termination, assignments, approval of merit increases, evaluations, and grievance adjustments.

5. Family Member. A spouse, domestic partner, parent, parent-in-law, step-parent, legal guardian, sister, step-sister, sister-in-law, brother, step-brother, brother-in-law, child, step-child, legal ward, daughter-in-law, son-in-law, grandchild, or grandparent.

B. Prohibited Conduct.

Conduct by family members including, but not limited to, one or more of the following:

(a) Participation directly or indirectly in the recruitment or selection process for a position for which a family member is an applicant;

(b) Direct supervision of a family member that does not comply with limitations set forth in this Rule; or

(c) Conduct by one or more family members that have an adverse effect on supervision, safety, security, or morale.

C. Guidelines for Applicants.

No qualified applicant may be denied the right to file an application for employment and compete in the examination process. However, consistent with this Section, the City may reasonably regulate, condition, or prohibit the employment of an applicant for a full-time position.

D. Disclosure. Each applicant is required to disclose the identity of any family member who is a current employee.

E. Assessment by the Human Resources Department.

For each applicant who has a family member who is a current employee, the Human Resources Department shall assess whether any of the following circumstances exist:

1. Business reasons of supervision, safety, security, or morale warrant the City's refusal to place the applicant under direct supervision by the family member; or

2. Business reasons of supervision, security, or morale that involve potential conflicts of interest or other hazards that are greater for family members than for other employees, which warrant the City's refusal to permit employment of family members in the same department, division, or facility.

F. Decision.

1. If the Human Resources Department determines that either of the above circumstances exists, the Human Resources Director shall exercise their discretion to either reject the applicant or consider the applicant for employment in a position that does not present either of the above circumstances.

2. Following examination, if the applicant is successfully certified as eligible, he or she may be employed in a position for which the

Human Resources Director has determined that neither circumstance exists pursuant to Section 5.6.

3. When an eligible applicant is refused appointment by virtue of this Section, their name shall remain on the eligibility list for openings in the same classification. For each opening, the Human Resources Director shall make a determination consistent with Section 5.6.

G. Guidelines for Current Employees.

1. Employees shall report a Change of Status to the Human Resources Department within a reasonable time after the effective date of the Change of Status. Wherever feasible, employees shall report a Change of Status in advance of the effective date.

2. Within thirty (30) days from receipt of notice, the Human Resources Director shall undertake a case-by-case consideration and individualized assessment of the particular work situation to determine whether the Change of Status has the potential for creating an adverse impact on supervision, safety, security, or morale.

3. The Human Resources Director shall consult with an affected supervisor to make a good faith effort to regulate, transfer, condition, or assign duties in such a way as to minimize potential problems of supervision, safety, security, or morale.

4. Notwithstanding the above provisions, the City retains the right to exercise its discretion to determine that the potential for creating an adverse impact on supervision, safety, security, or morale cannot be sufficiently minimized and to take further action pursuant to Section 5.6.

5. Following a Change of Status or new hire of a family member, affected supervisors shall reasonably monitor and regulate both family members' conduct and performance for a period of one (1) year from the date of the Human Resources Director's determination. The supervisor shall document these actions. Successive supervisors may re-visit such a determination at their discretion.

6. If the supervisor determines, subject to any applicable requirements of due process, that an employee has engaged in prohibited conduct, the supervisor shall re-visit the Human Resources Director's determination. Depending on the severity of the Prohibited Conduct, the supervisor may recommend that the Human

Resources Director take one or more of the following additional measures:

(a) Transfer one of the family members to a similar position that would not be in violation of this policy. The transfer will be granted provided the family member qualifies and there is an opening to be filled. There can be no guarantee that the new position will be within the same classification or at the same salary level.

(b) If the situation cannot be resolved by transfer, one of the family members must separate from City employment. If one of the employees does not voluntarily resign, the employee with primary responsibility for the prohibited conduct will be discharged.

(c) Supervisors who receive complaints from other employees that one or more family members have engaged in prohibited conduct shall respond in accordance with existing complaint and disciplinary procedures, where applicable.

(d) Where situations exist prior to the effective date of this Section that may be in conflict with this Section, every effort shall be made to reasonably address the situation so as to avoid any future conflict.

H. Employee Complaints. Employees who believe that they have been adversely affected by prohibited conduct by one or more family member(s) should submit complaints to the Human Resources Department.

I. Appeal of Determination. Current employees and applicants affected by the application of this Section, may appeal the action to the City Manager within ten (10) days of the action. The City Manager shall hear the individual's concerns and issue a written decision within thirty (30) days of receipt of the individual's appeal. The decision of the City Manager is final, and no other appeal may be had unless the employee is entitled to further administrative appeal under other provisions of these Rules.

J. Savings Clause. Should any provision of this Rule, or any application thereof, be unlawful by virtue of any federal, state, or local laws and regulations, or by court decision, such provision shall be effective and implemented only to the extent permitted by such law, regulation or court decision, but in all other aspects, the provisions of this Rule shall continue in full force and effect.

SEC. 5.7 CONSENSUAL ROMANTIC RELATIONSHIPS BETWEEN EMPLOYEES.

A. General. Consensual romantic or sexual relationships between City employees can lead to misunderstandings, complaints of favoritism, adverse effects on employee morale, and possible claims of sexual harassment during or after termination of the relationship. As a result, such relationships present existing or potential conflicts that adversely affect efficient operation of the City. Relationships that present an actual conflict under this Section are therefore prohibited.

B. Application. This section shall apply to all City employees, regardless of gender or sexual orientation, who have a romantic or sexual relationship with another City employee. The provisions regarding nepotism shall govern employees who marry or become domestic partners with another City employee.

C. Definition of Conflict. For purposes of this Section, a conflict exists if business issues of supervision, safety, security, and/or morale would be impacted by a romantic or sexual relationship between two employees.

D. Supervisor's Duty to Report. If a romantic or sexual relationship exists between a Supervisor and another employee (including another Supervisor), the Supervisor shall promptly disclose the relationship to the Human Resources Director and request a determination as to whether the relationship presents a conflict. The disclosure must identify the names and positions of both employees. A Supervisor's failure to comply with this section shall be grounds for discipline up to and including dismissal.

E. Determination. Within five (5) working days, the Human Resources Director shall issue a written determination as to whether the relationship presents a conflict, and is thereby prohibited. The Human Resources Director, in consultation with the City Manager, shall have exclusive discretion in making the determination.

F. Resolution of Conflicts. Subject to limitations imposed by law and applicable provisions of these Rules, the Human Resources Director will attempt in good faith to work with the Supervisor and the other employee to consider options to eliminate the conflict, including removing the Supervisory authority that created the conflict, reassignment, transfer, or voluntary demotion of a Supervisory employee, or where the Human Resources Director determines that modification of a Supervisor's assignment is not feasible, reassignment, transfer, or voluntary demotion of a non-Supervisory employee. The Human Resources Director retains discretion to determine that the conflict may be resolved via voluntary resignation or by involuntary demotion or dismissal.

G. Prohibited On-Duty Conduct. All City employees are prohibited from engaging in intimate, physical, or other conduct in furtherance of a romantic or sexual relationship with anyone, including another City employee, at work locations or during work hours. Moreover, upon termination of a sexual or romantic relationship with another City employee, employees are prohibited from engaging in behavior that adversely affects the working conditions of any City employee. In general, all employees are expected to observe appropriate standards of workplace conduct in their interactions with other City employees.

H. Complaints. Employees who believe that they have been adversely affected by romantic or sexual relationships between City employees should follow the complaint procedures provided under the City's policy against harassment, discrimination, and retaliation. The complaint procedures are available to all employees regardless of their past or present participation in a romantic or sexual relationship with another City employee.

RULE 6. PROBATION

SEC. 6.1 PROBATIONARY STATUS

A. During the probationary period the employee, unless subject to the terms and conditions of an employment contract, may be rejected at any time, for any lawful reason, or no reason.

B. Department Directors, and temporary employees, including part-time and contract employees, are not subject to a probationary period since these employees are subject to discharge at the discretion of the appointing authority, without further justification. Other employees (including the City Manager, City Attorney, and Fire Chief) may also be deemed at-will employees pursuant to employment contracts.

SEC. 6.2 PROBATIONARY PERIODS

A. The probationary period varies from one position to another and shall not include time served under a temporary, acting, or provisional appointment. Periods of time on leaves longer than thirty (30) days require that the probationary period be extended a period of time equal to the amount of time spent on leave.

B. Each new full-time regular employee or safety employee shall be a probationary employee until their successful completion of the prescribed probationary period. In general, the probationary period for regular employees is twelve (12) months, and for safety employees, the prescribed probationary period is eighteen (18) months. If, at any time

prior to successful completion of the prescribed probationary period, it appears that the probationary employee will not successfully complete the prescribed probationary period, the Department Head may extend the probationary period once for an additional six (6) months.

SEC. 6.3 REGULAR STATUS

A. An employee's status shall be considered regular upon their completion of the applicable probationary period.

B. If a probationary employee receives written notice of rejection from the City Manager prior to expiration of the applicable probationary period, the employee has not attained "completion" within the meaning of Section 6.3.

SEC. 6.4 REJECTION DURING PROBATIONARY PERIOD OF PROMOTED EMPLOYEES

A. Regular Employees. A regular employee who is rejected during the probationary period from a position to which the employee has been promoted may be reinstated to the position from which the employee was promoted, if such position is vacant and existing, unless the employee is discharged for cause, which would have been sufficient to cause their discharge from their former position as well. In such case, the employee shall be entitled to appeal their discharge as provided in these rules.

B. Probationary Employees. Employees promoted to a higher class while on probation in a lower class and who subsequently fail to perform satisfactorily in the promoted position may return to their former position provided the position has not been eliminated and is vacant. Such employee shall continue to serve a probationary period for the length of time remaining on the probationary period at the time of promotion.

RULE 7. PERFORMANCE REPORTS

SEC. 7.1 POLICY

It is the policy of the City that periodic and regular reports be made as to the efficiency, competency, conduct and merit of its employees. To this end, it is the responsibility of the City Manager and supervisors that these ratings be made. The Human Resources Director, under the direction of the City Manager, shall provide and prescribe the forms and procedures to be used in such reports of performance so that the program of performance reporting will be carried on in a sound, timely, and effective manner.

SEC. 7.2 AUTHORITY TO MAKE REPORTS

Department Heads shall prepare reports of performance for those employees within their department. The City Manager shall prepare reports of performance for the Department Directors. The City Manager shall review and approve all personnel performance reports following review and signature by the employee and their supervisor.

SEC. 7.3 TIME FOR REPORTING

A. Probationary Employees.

No later than ten (10) days prior to the completion of the probationary period, the supervisor shall furnish the Human Resources Department with a report as to the progress and capability of the probationary employee, a copy of which shall also be furnished to the probationer.

B. Regular Employees.

A report for an employee shall be prepared and received no later than ten (10) days prior to their salary anniversary date. An employee may be also given a report of performance at any other time during the year upon the employee's request or at the discretion of the Appointing Authority. An employee who has been rated "improvement needed" or "unsatisfactory" (or equivalent i.e., "does not meet expectations") shall receive a report three (3) months from receiving such rating and shall receive another report in another three (3) months in connection with a Performance Improvement Plan (PIP) this employee is assigned to complete.

C. Lack of Opportunity to Observe Performance.

If, as a result of extended absence or other circumstances resulting in a supervisor's opportunity to observe an employee's performance for fewer than three (3) months, the employee and the supervisor may mutually agree in writing to delay issuance of the report of performance by up to three (3) months, with prior approval of the Human Resources Director. If the employee is eligible for a step advancement, and the supervisor determines that the employee's performance so warrants, the supervisor may recommend to the City Manager that the employee receive the step advancement retroactively to the salary anniversary date.

SEC. 7.4 REVIEW WITH EMPLOYEE

It is acknowledged that one of the prime benefits of a sound performance rating system is that it can bring together the employee and their supervisor in a frank and constructive discussion and appraisal of the employee's work and the specific ways in which it may be improved. Therefore, each performance report shall be thoroughly discussed with the employee with this view in mind. The employee shall sign the report to acknowledge its contents. Such signature shall not necessarily mean the employee

endorses the content of the report. The employee shall be entitled to submit a written response to their performance report within ten (10) calendar days of receipt of the performance report. Any such response will be attached to the employee's performance report and maintained in their regular personnel file. No administrative appeal of the rating or contents of a performance report may be had by the employee.

SEC. 7.5 DISTRIBUTION OF REPORTS

Reports shall be prepared in three (3) copies. After review and approval of the City Manager, one copy shall be retained by the Human Resources Department and one copy shall be provided to the employee. The Human Resources Department copy, along with any response by the employee, shall be made a part of the employee's employment history and included in the employee's personnel file.

SEC. 7.6 PERFORMANCE RATINGS

A. Effects of "Improvement Needed" and "Unsatisfactory" Ratings.

1. Any employee who receives an overall rating of "unsatisfactory" or of "improvement needed" (or equivalent "i.e. "does not meet expectations") will not be eligible to be appointed off of any eligibility list until a satisfactory rating is established.

2. Any employee who receives an overall rating of "unsatisfactory" or of "improvement needed" (or equivalent i.e. "does not meet expectations") will not receive any merit salary increase during the period following the report, except as provided in subsection 5 below.

3. Any employee who receives an overall rating of "unsatisfactory" or of "improvement needed" (or equivalent i.e. "does not meet expectations") will be subject to a Performance Improvement Plan. "Unsatisfactory" or "improvement needed" ratings in individual rating categories may also result in a Performance Improvement Plan, in the discretion of the City.

4. In any case, where an employee receives an overall rating of "unsatisfactory" on two (2) consecutive occasions or "improvement needed" (or equivalent i.e. "does not meet expectations") on three (3) consecutive occasions, Disciplinary Action shall be taken by the Appointing Authority as provided for in these rules, if such action has not already been taken.

5. If an employee who has been denied a merit salary increase improves their performance to such an extent that the City Manager believes a merit salary increase is now justified, the City Manager shall indicate the improvement on a report of performance form and

may specifically award a merit salary increase. Additionally, in awarding the merit salary increase under this subsection, the City Manager may change the merit salary increase anniversary date to the date of the award of the merit salary increase or may permit the anniversary date to remain the same. Any merit salary increase awarded under this subsection shall not be made retroactive.

SEC. 7.7 PERFORMANCE IMPROVEMENT PLAN

A. The City Manager may authorize the use of a Performance Improvement Plan following an employee's receipt of an overall rating of "unsatisfactory" or "improvement needed" (or equivalent i.e. "does not meet expectations") in their most recent performance report, or based on similar ratings in particular evaluation categories, or at any other time upon request of a supervisor whose other efforts to have an employee conform to the City's policies and procedures or other standards of performance have not been successful.

B. A Performance Improvement Plan is not a disciplinary action, and should not be used in place of appropriate disciplinary action.

C. A Performance Improvement Plan shall detail the specific reasons that performance is deficient or non-compliant, requirements for improvement, the number of special and/or regular evaluation periods that the Plan is intended to be in place, and a schedule for review of the employee's progress under the Plan.

D. The employee will receive an opportunity to meet with their supervisor or the City Manager to provide input into the terms of the Performance Improvement Plan before the Plan takes effect. However, in the City Manager's discretion, the Performance Improvement Plan may take effect prior to expiration of the employee's time to respond to their performance report.

E. The City Manager shall retain discretion to determine at any time that an employee under a Performance Improvement Plan has not demonstrated reasonable improvement and that the Plan should be discontinued.

F. The City Manager may further determine at any time that Disciplinary Action is warranted to address an employee's insufficient performance or other misconduct.

G. If the City Manager determines that the employee has demonstrated sufficient improvement under the terms of the Performance Improvement Plan, and the employee then maintains acceptable performance over the full period of the Performance Improvement Plan, then the Plan shall be considered "successful." H. After the completion of a "successful"

Performance Improvement Program, the City shall maintain a record of the Plan in the employee's personnel file.

H. If the City Manager determines that a Performance Improvement Plan has not been "successful," or that the employee's performance has regressed in the evaluation period following completion of a "successful" Performance Improvement Plan, the City Manager may determine the issuance of proper disciplinary measures.

RULE 8. HOURS OF WORK/OVERTIME

SEC. 8.1 POLICY

A. It is the policy of the City that forty (40) hours per week shall constitute a week's work, for all full-time employees, except that work days and work weeks of a different number of hours may be established in order to meet the varying needs of the City where permitted by law.

B. Temporary employees, including part-time employees, are not eligible for any benefits beyond the hourly wage and any benefits required by applicable state or federal law and regulations, unless those benefits specifically and explicitly granted to these employees in these Rules.

SEC. 8.2 WORK WEEK

The normal work week shall be five (5) consecutive weekdays starting at 8:00 a.m. and ending at 5:00 p.m. on Monday to Friday except:

1. Library hours may vary.

2. Parks hours include Saturday and Sunday.

3. Streets, Parks, Water, Water Treatment, and Wastewater Treatment Department Hours are from 7:00 a.m. to 3:30 p.m.

4. Hours of operation differing from these guidelines may be established for any office or Department in order to meet the needs of the City and the citizens of St. Helena.

SEC. 8.3 DAILY HOURS OF WORK

Daily hours of work or shifts for employees shall be assigned by the City Manager as required to meet the operational requirements of the City.

SEC. 8.4 CHANGE IN WORKING HOURS

Any foreseeable absence or deviation from scheduled working hours desired by an employee shall, in advance, be cleared in writing through the office of the City Manager, and such absence shall be noted on the employee's time sheet.

SEC. 8.5 OVERTIME

A. Overtime Compensation.

Employees shall not perform work outside of their regularly scheduled shifts unless requested to do so by a Department Head or with advance written authorization from a Department Head. This requirement applies to, but is not limited to:

1. Work performed before the start of the shift;
2. Work performed during meal periods;
3. Work performed after the end of the shift; and
4. Other work performed "off the clock" including work performed at home.

All employees shall take reasonable measures wherever feasible to avoid the need for work to be performed outside of their regularly scheduled shifts. Where required, time spent on such work shall be kept to a minimum. All time worked and leave used must be reported on an employee's timecard, regardless of when or where the work was performed.

Department Heads shall adhere to the following guidelines in requesting or assigning work outside an employee's regularly scheduled shift:

An employee who may be required to perform work outside the regular shift shall be notified of the apparent need for such work as soon as practicable prior to when the work is expected to begin.

Non-exempt employees shall be paid at one and one-half times the employee's regular rate of pay for all hours actually worked in excess of the employees regularly scheduled shift or in excess of forty (40) hours in a work week. Paid time off or other non-working time (except paid rest breaks under Section 8.6), such as vacation, sick leave, holidays, jury duty, and compensatory time off, shall not be considered hours worked.

SEC. 8.6 REST BREAKS

Non-exempt employees shall be entitled to a paid 15-minute break for every four (4) hours worked. Such time shall be considered hours worked.

SEC. 8.7 CONDUCT DURING THE WORKDAY

During the workday, employees are expected to devote their full time in the performance of their assigned duties. Any approved outside work, part-time job, hobbies, or personal business must be performed during off duty hours. Off duty hours include unpaid lunch break periods, but do not include other rest or break periods during which the employee continues to receive pay.

RULE 9. LEAVES OF ABSENCE

SEC. 9.1 HOLIDAYS

A. The following days shall be recognized and observed as paid holidays for regular full-time employees:

1. New Year's Day (January 1)
2. Martin Luther King, Jr. Birthday (Third Monday in January)
3. Presidents' Day (Third Monday in February)
4. Cesar Chavez Day (March 31)
5. Memorial Day (Last Monday in May)
6. Independence Day (July 4)
7. Labor Day (First Monday in September)
8. Veteran's Day (November 11)
9. Thanksgiving Day (Fourth Thursday in November)
10. Friday after Thanksgiving Day
11. Christmas Eve (December 24)
12. Christmas Day (December 25)

Except for emergency services, all City offices shall be closed on recognized and observed paid holidays above and all full-time employees shall receive full pay provided they are employed and in a paid status on the first working day prior to and following the holiday.

When a recognized and observed holiday falls on a Saturday, the preceding Friday shall be deemed a holiday. When a holiday falls on a Sunday, the following Monday shall be deemed a holiday. When Christmas Eve falls on a Friday, the preceding Thursday shall be deemed a holiday. When Christmas day falls on a Monday, the following Tuesday

shall be deemed a holiday. When Christmas falls on a Thursday, the following Friday shall be a holiday in lieu of Christmas Eve Day.

B. Holidays for Employees on work schedules other than Monday through Friday

Employees assigned to a seven-day operation departments or employees working a five-day work week other than Monday through Friday shall be allowed another day off within the same work week if a holiday falls on one of their regularly scheduled days off. Employees whose holidays are changed because of shift rotations shall be allowed another day off if a legal holiday falls on one of their days off. Employees regularly scheduled to work on a holiday which falls on a Saturday or Sunday shall receive holiday compensation for the work on that Saturday or Sunday. Holiday compensation shall not be paid for work on any weekday preceding a Saturday holiday or on any weekday following a Sunday holiday.

C. Personal Convenience Holiday.

Each regular, full-time employee shall be eligible for two (2) Personal Convenience Holidays of eight (8) hours each. Each regular employee, Department Head, and full-time unrepresented safety employee who has been continuously employed by the City for at least five (5) years will be granted three (3) additional Personal Convenience Holidays. Personal Convenience Holidays must be used prior to the end of the calendar year and will not accrue or carry over. They may be taken at the employee's convenience, subject to the Department Head's approval. These Holidays shall not incur additional expense to the City (e.g., causing another employee to work overtime). Each of these Holidays must be taken as a full day.

SEC. 9.2 VACATION

A. Unless otherwise required by an applicable MOU or employment agreement, full-time regular employees shall accrue vacation, on a daily basis, according to the following schedule:

Years of Service	Vacation Accrual
0 – 4 years	10 days per year
5 years	15 days per year
6 years	16 days per year
7 years	17 days per year
8 years	18 days per year
9 years	19 days per year
10 years	20 days per year

The maximum rate at which vacation may be accrued by any employee is twenty (20) days per year.

B. Part-time Employees: On July 1 of each year, a part-time employee will be awarded vacation hours in an amount determined by multiplying the employee's "average work day" by ten, provided that:

1. In computing the "average work day," no time worked prior to the employee's first anniversary date shall be considered.

2. Administration of the use of vacation leave by part-time employees will be by the same rules as regular employees.

C. The City Manager may in their sole discretion, permit a Department head to accrue vacation on a schedule other than as specified in Section 9.2. The City Manager shall specify the applicable schedule in writing at the time of hire.

D. Employees may begin using accrued vacation after completing six (6) months of continuous employment with the City.

E. Employees may carry over up to 80 hours of unused accumulated vacation to the next fiscal year. This carryover amount shall be prorated for new hires.

F. Employees may convert up to one-half (1/2) of their unused accumulated vacation days per fiscal year to compensation and shall be paid at the employee's rate of pay at the time of the conversion.

G. At termination of employment for any reason, the City shall compensate the employee for the employee's accumulated vacation time at the employee's straight time rate of pay at the time of termination.

H. The City will not require an employee to take vacation time in lieu of sick leave or leave of absence during periods of illness. However, the employee may elect to take vacation time in case of extended illness constituting a "serious health condition" within the meaning of the City's Family Care and Medical Leave, Pregnancy Disability Leave, and Military Family Leave Policy where sick leave has been fully used. If a holiday falls on a work day during an employee's vacation period, that day shall be considered as a paid holiday and not vacation time.

I. Vacations may be scheduled at any time during the year upon written approval of the Department Head.

SEC. 9.3 SICK LEAVE

A. Definitions.

The definitions provided in this Section 9.3 apply only to the provisions in Section 9.3.

1. Immediate Family. Immediate Family means: (1) a biological, adopted, or foster child, stepchild, legal ward, or a child to whom the employee stands *in loco parentis*; (2) biological, adoptive, or foster parent, stepparent, or legal guardian of an employee or of the employee's spouse or registered domestic partner, or a person who stood *in loco parentis* to either the employee or the employee's spouse or domestic partner as a minor; or (3) an employee's spouse, registered domestic partner, grandparent, grandchild, or sibling, including half-siblings.

2. Permitted Use of Sick Time. Sick Time is not discretionary leave, and Permitted Use of Sick Time consists of any of the following:

   (a) Diagnosis, care, or treatment of the existing health condition of an employee or a member of the employee's immediate family;

   (b) Preventative care for an employee or a member of the employee's immediate family;

   (c) For employees who are victims of domestic violence, sexual assault, or stalking, leave taken for the purposes described in Sections 230(c) and 230.1(a) of the California Labor Code.

   (d) Extension of Bereavement Leave to which an employee is entitled under Section 9.4.

3. Full-Time Employees. For purposes of this policy a "Full-Time Employee" means any regular or probationary Full-Time Employee.

4. PTS Employees. For purposes of this policy a "PTS Employee" means any employee who is not a Full-Time employee, including, but not limited to, part-time, temporary, and seasonal employees.

5. Employees. For purposes of this policy the term "Employees," without further modification, includes all City employees, regardless of status or hire date.

B. Eligibility.

All Employees are eligible to accrue and use paid sick leave in accordance with the applicable terms of this policy.

C. Waiting Period Prior to Use of Sick Leave by New Hires.

All New Hires must complete an initial, one-time ninety (90) calendar day waiting period before using sick leave. Employees who leave City employment before completion of the 90-day waiting period are not entitled to use any sick leave. However, New Hires who return to City employment within twelve (12) months of separation will have their

sick leave balances restored and need only complete the remainder of the ninety (90) day period before becoming entitled to use available sick leave.

D. Accrual.

1. Full-Time Employees.

Full-Time Employees shall earn sick leave at the rate of eight (8) hours per month. There shall be no limit on sick leave accrual.

2. PTS Employees.

(a) PTS Employees will receive a bank of twenty-four (24) hours of sick leave on the first day of the next month following their first date of employment, whichever is later. New Hires must satisfy the waiting period before using any time from the sick leave bank.

(b) The City will provide an additional bank of twenty-four (24) hours of sick leave on January 1 of each subsequent calendar year to each PTS employee.

(c) PTS Employees shall accrue no additional sick leave beyond the twenty-four (24) hour bank and shall have no right to carry over banked hours from year to year.

E. Notice.

1. Unscheduled Time Off.

An Employee shall contact their immediate supervisor at least two hours prior to the commencement of the assigned work shift, or as soon thereafter as is practical, to report absence from work due to a Permitted Use of Sick Time. Consideration shall be given to emergency situations that restrict the employee from contacting their immediate supervisor prior to their assigned work shift, including, but not limited to accident, injury, or hospitalization.

An employee shall notify their immediate supervisor before the employee leaves the work site prior to completion of the work shift due to any unscheduled Permitted Use of Sick Time; however, the employee need not provide the reason that sick time is needed to the immediate supervisor.

2. Scheduled Time Off.

Notice of time off for scheduled appointments involving a Permitted Use of Sick Time, such as personal medical appointments, must be provided to the Department Head or the Human Resources Department, at least one week in advance of the appointment, whenever feasible. Every effort should be made to schedule such appointments at times that do not conflict with the City's work schedule.

The employee shall again notify their immediate supervisor before the employee leaves the work site prior to completion of the work shift due to the scheduled Permitted Use of Sick Time.

F. Medical Certification or Other Documentation.

Employees off work on sick leave for a period of more than three (3) consecutive work days, or whose usage indicates potential abuse of sick leave, may be required at any time to provide a doctor's note or other relevant documentation certifying that the reason for the employee's absence is a Permitted Use of Sick Time, and if the employee is unable to return to work, stating how long the employee is expected to be unable to do so.

G. Return to Work.

For any absence of seven (7) or more consecutive work days due to an employee's own illness or injury, the supervisor may require that the employee provide a note from their physician, releasing the employee with or without restrictions, before the employee may return to work.

H. Reinstatement of Unused Sick Leave Balances.

An Employee who separates from employment with the City and returns to active employment within twelve (12) months of their separation date shall have their unused sick leave balance reinstated, up to a maximum of twenty-four (24) hours. For purposes of this provision, unused sick leave is leave that was accrued, but never taken by the Employee, and that was not converted to Personal Leave.

I. Retention and Inspection of Records Pertaining to Sick Leave.

The City shall keep records documenting the hours worked and paid sick leave accrued and used by an employee for three (3) years. Upon reasonable request, and within twenty-one (21) calendar days after the request, the City shall afford current and former employees the right to inspect or copy records pertaining to their hours worked and paid sick days accrued and used.

J. Abuse of Sick Leave.

Employees who do not comply with this policy, including providing insufficient notice of sick leave or using sick leave for reasons other than for a Permitted Use of Sick Time, are committing abuse of sick leave, which is grounds for discipline, up to and including termination.

The City reserves the right to take reasonable steps to determine whether an employee is abusing sick leave, including, but not limited to, attempting in-person or electronic communication with an employee using sick leave, identifying and tracking consistent patterns of sick leave use, such as in connection with weekends, holidays, and

scheduled days off, and considering social media content or other relevant evidence that is either publicly available or shared voluntarily by other employees or interested individuals.

SEC. 9.4 BEREAVEMENT LEAVE

A. Employees are entitled to paid bereavement leave in the event of death in their immediate family. Bereavement leave is a separate benefit from other paid leaves; however, sick leave may be used to supplement the periods provided in this section.

B. Employees may be granted up to three (3) working days of paid bereavement leave or five (5) working days if the death occurs out of State, per immediate family member.

C. For purposes of this Section 9.4, "immediate family" shall have the same definition as in Section 9.3.

SEC. 9.5 MILITARY LEAVE

Military leave shall be granted in accordance with state and federal law (i.e. the California Military and Veteran's Code and the Federal Uniformed Services Employment and Reemployment Rights Act.) An employee entitled to military leave shall give the Administrative Services Manager an opportunity within the limits of military regulations to determine when such leave shall be taken. Prior to taking military leave, an employee, when possible, shall present a copy of their military orders to the Human Resources Department. In addition, leave for military exigency or military caregiver shall be granted in accordance with the Family and Medical Leave Act.

SEC. 9.6 JURY DUTY

This policy shall apply to all regular and probationary employees in all classifications.

An employee summoned for jury duty will immediately notify the Human Resources Department. While serving on a jury, an employee will be given a leave of absence, with pay, for the duration of said jury duty. Said leave of absence with pay is conditional upon the employee returning to work upon their dismissal each day to complete their normal work day. It is also conditional upon the employee's conveyance to the City of any compensation received as a juror, not including any travel allowance received.

SEC. 9.7 VOTING LEAVE

In accordance with California Election Code sections 14000 and 14001, if a registered voter does not have sufficient time outside normal working hours within which to vote at general direct primary or presidential elections, the employee may take off such working time as will enable him/her to vote. The scheduling of the time referenced above shall be subject to the approval of the employee's supervisor and shall normally

be at the beginning or end of a work shift. A maximum of two (2) hours may be taken with pay. The employee must provide two (2) days of advance notice of the need for voting leave.

SEC. 9.8 ELECTION OFFICIAL LEAVE

Employees serving as an election official shall be permitted leave in order to so serve. Such leave is unpaid, but, at their option, employees may request to use vacation leave to serve as an election official. An employee taking leave to serve as an election official is required to give their Department Head at least ten (10) days of advance notice before the date of the election in which the employee is to serve as an election official. Employees serving as an election official are required to provide their Department Head with proof of service prior to taking leave.

SEC. 9.9 LACTATION BREAKS

A. In accordance with California and federal law, the City will provide an employee with reasonable unpaid time off and an appropriate area for the purpose of the employee expressing breast milk for the employee's infant child.

B. An "appropriate area" is a place other than a bathroom that is in close proximity to the employee's work area and that is shielded from view and free from intrusion by other employees and the public. The City will consider input from the affected employee but retains sole discretion in identifying an "appropriate area" on a case-by-case basis.

SEC. 9.10 UNPAID LEAVES OF ABSENCE

A. The City Manager, in their discretion, may grant an employee leave of absence without pay for up to three (3) months. Unpaid leave of absence may be granted by the City Manager for the following grounds: (1) for personal reasons which are acceptable to the City Manager; (2) for reason of illness in the event sick leave has been exhausted; (3) in conjunction with pregnancy-related leave; or (4) to pursue a course of education which will increase the employee's capability in holding the City position. The City Manager may require sufficient documentation establishing the employee's need for leave.

B. After the initial three (3) months of leave of absence without pay, the City Manager may, in their discretion, extend the leave for up to nine (9) additional months in a maximum of three (3) month increments. However, unless otherwise required by law, in no circumstances shall the total amount of unpaid leave be longer than twelve (12) months.

C. Exhaustion of Paid Leaves.

1. Non-medical Leave of Absence without Pay. An employee requesting leave under this section for nonmedical reasons is required to fully exhaust all of their paid leaves, except sick leave, in order to be eligible to receive a leave of absence without pay.

2. Medical Leave of Absence without Pay. An employee requesting leave under this section for medical reasons is required to fully exhaust all of their paid leaves, including sick leave, in order to be eligible to receive a leave of absence without pay.

D. Accrual of Benefits.

1. Leave of absence without pay shall not be construed as a break in service or employment, and rights accrued at the time leave is granted shall be retained by the employee; however, vacation credits, sick leave credits, increases in salary, and other similar benefits shall not accrue to a person granted such leave during the unpaid period of absence.

2. Unless the employee notifies the City Manager at the time of the request for leave without pay that they elect to pay the premiums for continuation of Health, Dental, and other insurance benefits, those benefits will be terminated beginning from the calendar month following the start of the unpaid leave. If that election is made and the leave request is granted, it is the responsibility of the employee to submit payment to the City such that it is received prior to the City processing payment to the insurance carrier. The City will not make a premium payment in anticipation of receipt of the payment from the employee.

3. Retirement benefits shall be adjusted for leave without pay in accordance with the Public Employees' Retirement System (PERS) regulations.

4. An employee returning after leave of absence without pay shall receive the same step in the salary range, they received when they began their leave of absence. Time spent on such leave without pay shall not count toward service for increases within the salary range, and the employee's salary anniversary date shall be set forward by an amount equal to the days of unpaid leave taken by the employee.

E. Failure to Return from Leave. If an employee takes any action during their leave that is inconsistent with an intention to return to employment with the City, such as accepting full-time employment with another employer, the employee will be considered to have voluntarily terminated their employment. Failure of the employee to return to their employment upon the termination of any authorized leave of absence shall constitute an

automatic termination from City service of that employee– unless such leave is extended.

SEC. 9.11 UNAUTHORIZED LEAVES OF ABSENCE AND FAILURE TO RETURN FROM LEAVE

A. An employee may be considered to have voluntarily resigned from their employment with the City under any of the following circumstances:

1. Absence from their job for more than five (5) consecutive working days without compliance with applicable notice requirements under these Rules;

2. Any action taken during a leave of absence from the City that is inconsistent with an intention to return to employment with the City, such as accepting full-time employment with another employer;

3. Failure to return to employment following the expiration of an authorized leave of absence–unless the City permits extension of the leave.

B. The City shall provide written notice to employees who are considered to have voluntarily resigned. The notice shall describe the facts on which the voluntary resignation is based and the right to petition the Human Resources Director for reconsideration.

C. Any unauthorized absence may be cause for Disciplinary Action.

SEC. 9.12 EXECUTIVE LEAVE

A. Each FLSA-exempt, unrepresented employee who has completed one year of City service shall receive forty (40) hours of executive leave per calendar year, which may be used by the end of the calendar year. During their first year as a City employee, FLSA-exempt, unrepresented employees shall obtain a pro rata amount of executive leave commensurate with the time remaining in the calendar year. Executive leave may be not be carried forward from year to year. There is no cash value to Executive Leave and FLSA-exempt, unrepresented employees shall not receive compensation for any unused Executive Leave hours at the time of separation from City employment.

B. Additionally, at-will executive staff may receive up to another five (5) days Executive Leave annually at the discretion of the City Manager provided on July 1st of each year, and all hours not taken by December 31st of the same year will be lost unless an extension of time is granted by the City Manager.

C. Newly hired employees shall have Executive Leave awarded to them in the following pro-rated manner:

If the employee is hired from:

January – March	40 hours awarded on the date of hire
April – June	30 hours awarded on the date of hire
July – September	20 hours awarded on the date of hire, 40 hours additional at-will
October -- December	10 hours awarded on the date of hire, 20 hours additional at-will

SEC. 9.13 VICTIM LEAVE

Victims of domestic violence and/or sexual assault shall be permitted unpaid leave in accordance with Labor Code sections 230(c) and 230.1. Victims of a violent or serious felony or a felony involving theft or embezzlement shall be permitted unpaid leave in accordance with Labor Code section 230.2.

SEC. 9.14 SCHOOL VISITATION LEAVE

Employees shall be permitted to take unpaid leave (under Section 9.11) or any accrued, but unused vacation hours, for child-related activities, in accordance with Labor Code Sections 230.7 and 230.8. Employees are required to submit written leave request and written approval from Department Head or City Manager, at least three (3) days before the start of the leave.

SEC. 9.15 FITNESS FOR DUTY LEAVE.

A. Purpose/Policy. Employees are expected to report to work fit for duty, which means able to perform their job duties in a safe, appropriate, and effective manner, free from adverse effects of physical, mental, emotional, and/or personal problems. This Rule is intended to provide a safe environment and protect the health and welfare of employees and the public. If an employee feels that they are not fit to perform their duties, the employee must notify thei supervisor immediately.

B. Reasons for Fitness for Duty Leave. A fitness for duty examination may be ordered in any of the following situations:

1. An employee returns from a medical leave of absence of more than seven (7) working days.

2. An employee is involved in the interactive process with the City.

3. Supervisor observes or receives a reliable report of an employee's possible lack of fitness for duty. Observations and reports may be based on, but are not limited to, employee's own self-report of potential unfitness, dexterity, coordination, alertness, speech, vision acuity, concentration, response to criticism, interactions with the public, co-workers, and supervisors.

4. Fitness for duty examinations based on a reasonable suspicion that an employee is under the influence of illegal drugs or alcohol shall be conducted in accordance with the City's Drug-Free Workplace Policy.

C. Procedures for Ordering a Fitness for Duty Examination. When a supervisor becomes aware of or observes behavior that makes him/her reasonably suspect that the employee may not be fit for duty, the supervisor shall refer the employee to the City Manager who will determine whether a fitness for duty examination is necessary and should be scheduled. If the circumstances warrant it, the City Manager may place the employee on a paid or unpaid leave pending the results of the employee's fitness for duty examination. The examination shall be paid for by the City.

D. Procedure Following Receipt of Examination Results. The doctor examining the employee shall be limited to finding the employee "fit for duty" or "unfit for duty." In no case shall the doctor reveal the underlying cause of any unfitness for duty without the employee's permission.

E. Fit for Duty. If the doctor finds the employee is fit for duty, the employee shall return to work immediately and perform all duties of their position.

F. Unfit for Duty. If the employee is found to be unfit for duty, the employee shall not be permitted to work and may utilize accrued paid leave (e.g. sick leave, vacation, etc) while off duty . The employee may request a leave of absence in accordance with the appropriate subsection of this Policy, and, where appropriate, the City shall engage in the interactive process to evaluate the employee's workplace needs or restrictions. The City shall then evaluate those needs or restrictions and determine whether they can be reasonably accommodated.

RULE 10. FAMILY CARE AND MEDICAL LEAVE, PREGNANCY DISABILITY LEAVE, AND MILITARY FAMILY LEAVE POLICY

SEC. 10.1 POLICY

A. The City will provide family and medical care leave for eligible employees as required by state and federal Law. The leaves provided for in this Policy

are granted under a variety of state and federal laws. Employees should be aware that leave under one Section of the Policy may also qualify for leave under another Section and will run concurrently. For example, military caregiver leave is provided for under the FMLA, but in certain circumstances, might also qualify for CFRA leave. In situations where similar state and federal leave programs do not both apply (e.g. an eligible employee is entitled to take CFRA leave to care for a registered domestic partner, but FMLA leave does not include registered domestic partners), the City will advise affected employees in writing which of their statutorily-protected leaves are being used and how much of that leave remains.

B. Additional definitions and other provisions governing employees' rights and obligations under the FMLA, CFRA, and PDL that are not specifically set forth below are set forth in the Department of Labor's FMLA regulations (29 C.F.R. § 825.00 *et seq.*) and the California Department of Fair Employment and Housing's CFRA regulations (2 C.C.R. § 11087 *et seq.*) and PDL regulations (2 C.C.R. § 11035 *et seq.*) This Policy is deemed to include and be governed by such statutory and regulatory provisions, including subsequent revisions, except where expressly contradicted by more generous terms of this Policy.

SEC. 10.2 FAMILY CARE AND MEDICAL LEAVE (FMLA/CFRA LEAVE)

A. Eligibility. To be eligible for FMLA/CFRA leave, an employee must have:

1. Been employed by the City for at least twelve (12) months prior to the date on which the FMLA/CFRA leave is to commence, measured as of the date the leave is to start;

2. Have worked at least 1,250 hours over the twelve(12) month period preceding the FMLA/CFRA leave, measured as of the date the leave is to start; and

3. For employees performing covered military service under the federal Uniformed Service Employment and Reemployment Rights Act, periods of absence due to such service shall be counted for purposes of determining whether the employee meets these eligibility requirements.

B. Qualifying Reasons for FMLA/CFRA Leave. Employees meeting the eligibility requirements under Section 10.2 may take FMLA/CFRA leave for any of the following qualifying reasons:

1. The birth of a child of the employee and in order to care for such child.

2. The placement of a child with the employee for adoption or foster care of the child by the employee and in order to care for that child.

3. Providing care for a qualifying family member with serious health condition:

(a) Under FMLA, a spouse, child, or parent with a serious health condition, and

(b) in addition to those persons listed in (a), CFRA-qualifying family members include registered domestic partners, grandparents, grandchildren, and siblings.

4. The employee's own serious health condition.

The FMLA and CFRA also provide for certain military exigency leave and military caregiver leave. The PDL also provides for leave for employees with a serious health condition is on account of her pregnancy, childbirth, or related medical conditions.

C. Child.

1. Under CFRA, leave may be taken by an employee for a "child" who is, regardless of age, a biological child, adopted, or foster child, a stepchild, a legal ward of the employee, a child of a domestic partner, or a person to whom the employee stands in loco parentis.

2. Under FMLA, only biological, adopted, foster, or step children, legal wards, or persons for whom the employee stands in loco parentis) qualify, and only if they are (1) under 18, or (2) are over 18 and incapable of caring for themselves due to a physical or mental disability.

D. In loco parentis.

1. For purposes of this Policy an employee stands in loco parentis by providing day-to-day care or financial support with demonstrated intent of assuming the responsibilities typically held by a parent.

2. Whether an employee stands in loco parentis to a child for purposes of this Policy will be determined by the City on a case-by-case basis, and the City may require reasonable documentation to support an employee's claim of providing either day-to-day care or financial support for the child.

E. Serious Health Condition. A serious health condition is an illness, injury, impairment, or physical or mental condition of the employee or a child, parent, spouse, or registered domestic partner of the employee that makes the employee unable to work or unable to perform one or more of

the essential functions of the employee's position, and which involves either inpatient care or continuing treatment or supervision by a health care provider, as follows:

(a) "Inpatient care" means an overnight stay in a hospital, hospice, or residential medical care facility, or any subsequent treatment in connection with such inpatient care, or any resulting period of incapacity. A person is considered to have an "overnight stay" for purposes of this provision if a health care facility formally admits him/her to the facility with the expectation that the employee will remain at least overnight and occupy a bed, even if it later develops that such person can be discharged or transferred to another facility and does not actually remain overnight.

(b) "Continuing treatment or supervision by a health care provider" means and includes any one or more of the following:

(a) In-person treatment two or more times, within thirty (30) days of the first day of incapacity, unless extenuating circumstances exist, by a health care provider, by a nurse under direct supervision of a health care provider, or by a provider of health care services (e.g. physical therapist) under orders of, or on referral by, a health care provider, with the first visit being within seven (7) days of the first day of incapacity; or

(b) In-person treatment by a health care provider on at least one (1) occasion, which results in a regimen of continuing treatment under the supervision of the health care provider, with the first visit being within seven (7) days of the first day of incapacity.

(c) Any period of incapacity due to pregnancy, or for prenatal care, whether or not in-person treatment is received during that time, or whether the resulting absence lasts fewer than three (3) days.

(d) Any period of incapacity, or treatment for such incapacity, due to a chronic serious health condition, whether or not in-person treatment is received during that time, or whether the resulting absence lasts fewer than three (3) days. A chronic serious health condition is one which:

(i) Requires periodic visits (defined as at least twice a year) for treatment by a health care

provider, or by a nurse under direct supervision of a health care provider;

(ii) Continues over an extended period of time (including recurring episodes of a single underlying condition); and

(iii) May cause episodic rather than a continuing period of incapacity (e.g., asthma, diabetes, epilepsy, etc.).

(e) A period of incapacity which is permanent or long-term due to a condition for which treatment may not be effective. The employee or family member must be under the continuing supervision of, but need not be receiving active treatment by, a health care provider. Examples include Alzheimer's, a severe stroke, or the terminal stages of a disease.

(f) Any period of absence to receive multiple treatments (including any period of recovery therefrom) by a health care provider or by a provider of health care services under orders of, or on referral by, a health care provider, for either:

(i) Restorative surgery after an accident or other injury; or

(ii) A condition that would likely result in a period of incapacity of more than three (3) consecutive, full calendar days in the absence of medical intervention or treatment, such as cancer (chemotherapy, radiation, etc.), severe arthritis (physical therapy), or kidney disease (dialysis).

(g) "Incapacity" means that a person is unable to work, attend school, or perform regular daily activities due to a serious health condition, its treatment, or the recovery that it requires.

F. Amount of Leave Entitlement. Provided that all applicable conditions of Section 10.2.A are met, an employee may take a maximum of twelve (12) workweeks of FMLA/CFRA leave in a rolling twelve (12) month period measured backwards from the date the employee uses any FMLA/CFRA leave.

1. Employees taking FMLA/CFRA leave for the birth, adoption, or foster care of their child must initiate and complete any FMLA/CFRA leave within one (1) year of the birth of the child or placement of the child with the employee for adoption or foster care.

2. An employee's FMLA/CFRA leave does not need to be consecutive, but can be cumulative within a twelve (12) month period.

3. Industrial injury leaves and all non-industrial injury leaves are FMLA/CFRA leaves if they qualify as serious health conditions.

G. Concurrent Use of Accrued Paid Leaves.

1. Leave taken under this Policy is unpaid.

Employees may elect or may be required to use their accrued leave balances concurrently with FMLA/CFRA leave, as provided below. When an employee elects or is required to use their accrued leave balances, the employee may specify in writing the order in which the employee would prefer to exhaust their leave balances. If the employee fails to designate the order of exhaustion, the City will exhaust the leave balances in the following order: sick leave, compensatory time off, floating holiday, vacation. The paid leave shall run concurrently with the FMLA/CFRA leave, and shall not extend the employee's entitlement to FMLA/CFRA leave beyond twelve (12) workweeks.

2. Sick leave.

Employees are required to run all accumulated sick leave concurrently when FMLA/CFRA leave is taken for the employee's own serious health condition. Employees may elect to so coordinate their accumulated sick leave when FMLA/CFRA leave is taken for any other reason.

3. Other paid leaves.

Employees are required to coordinate all other accrued paid leaves of absence, including but not limited to, compensatory time off, vacation, and holiday leave, when taking FMLA/CFRA leave for any reason.

4. Coordination with Wage Replacement Plans.

If an employee who is on FMLA/CFRA leave is also receiving a wage replacement payment from State Disability Insurance, Paid Family Leave, Short-Term Disability Programs, Long-Term Disability Programs, and/or Workers' Compensation, the employee and the City may mutually agree to coordinate the employee's accrued paid leaves with the amount received from the wage replacement plan, up to an amount equal to the employee's regular salary.

H. Intermittent or Reduced Schedule Leave.

1. An As-needed Basis.

Intermittent FMLA/CFRA leave is leave taken on an as-needed basis in increments of minutes, hours, or days. A reduced schedule FMLA/CFRA leave involves a reduction in the number of hours per day or per week that an employee regularly works, with the employee substituting FMLA/CFRA time substitute for hours not worked. The minimum FMLA/CFRA leave increment that can be taken by an employee is fifteen (15) minutes.

2. Calculation of Intermittent or Reduced Schedule Leave.

The maximum equivalent number of hours to which an employee is entitled during the twelve (12) week period will be based on the employee's regularly scheduled workweek. For example, an employee who is regularly scheduled to work forty (40) hours per workweek will be entitled to a maximum of 480 hours of FMLA/CFRA leave, whereas, an employee who is regularly scheduled to work thirty-two (32) hours per workweek will be entitled to a maximum of 384 hours of FMLA/CFRA leave. In calculating this amount for employees with a varying schedule, the City will use an average of the employee's workweeks within the twelve (12) month period immediately preceding the intermittent or reduced schedule leave.

3. Impact on Salary.

Where permitted by applicable state and federal wage and hour laws, the City may make deductions from an employee's salary for all hours of leave taken as intermittent leave, unless the employee is entitled or required to coordinate paid leave.

4. Inclusion of Scheduled Overtime.

If an employee normally would be required to work overtime hours, but is unable to do so because of an FMLA/CFRA-qualifying reason that limits the employee's ability to work overtime, the hours that the employee would have been required to work may be counted against the employee's FMLA/CFRA entitlement, as the employee would be considered to be using intermittent or reduced schedule leave. For example, if an employee is normally required to work fifty (50) hours in a particular workweek, but because of an FMLA/CFRA-qualifying reason, the employee works only forty (40) hours that week, the employee would use ten (10) hours of FMLA/CFRA-protected leave out of the fifty (50) hour workweek.

5. Conditions for Taking Intermittent or Reduced Schedule Leave

(a) FMLA/CFRA leave taken for the employee's own serious health condition, or the serious health condition of the employee's spouse, registered domestic partner, parent, or child, or for military caregiver leave, may be taken intermittently or on a reduced leave schedule when medically necessary (as distinguished from voluntary treatments and procedures).

(b) Military exigency leave may be taken on an intermittent or reduced schedule basis without limitation.

(c) Leave taken following the birth, adoption, or placement or foster care of a child may be taken on an intermittent or reduced schedule basis.

I. Temporary Transfer.

1. Required by the City.

The City may require that the employee temporarily transfer to an available alternative position for which the employee is qualified, and which provides equivalent pay and benefits and that better accommodates recurring leave periods than the employee's regular position.

2. Requested by Employee.

An employee on intermittent or reduced schedule FMLA/CFRA leave for foreseeable and planned medical treatments may request a transfer to an open and available position for which the employee is qualified, if the duties of that position would better accommodate the employee's intermittent or reduced schedule FMLA/CFRA leave. Transfers will not be considered under this Section when the intermittent or reduced schedule FMLA/CFRA leave is unscheduled, such as in the case of chronic conditions.

J. Leave Taken for Baby Bonding. The basic minimum duration of a leave taken for the birth, adoption, or foster care of a child shall be two (2) weeks. However, the City will also grant two (2) requests for shorter leave periods in the applicable one (1) year period.

K. Employee Notice. Employees requesting leave under the FMLA/CFRA must notify their supervisor in accordance with the rules set forth below. Employees must provide the supervisor with sufficient information to make the City aware that the employee needs FMLA/CFRA leave, and the anticipated timing and duration of that leave. Supervisors must forward any such requests to the Human Resources Department for review and approval.

1. Foreseeable Events.

An employee must provide the City with at least thirty (30) days advance notice before the date the leave is to begin, or must provide notice as soon as is practicable, normally the same business day or next business day if the employee is off work when the employee learns of the need for leave. If the employee provides less than thirty (30) days advance notice, the City may require explanation of why thirty (30) days advance notice was not practicable.

(a) In any case in which the need for FMLA/CFRA leave is foreseeable based on one of the circumstances listed below in sub-section b., the employee shall make a reasonable effort to schedule any planned medical treatment or supervision so as not to unduly disrupt the operations of the City. However, any such scheduling shall be subject to the approval of the health care provider of the employer or the employee's child, parent, spouse, or registered domestic partner (CFRA only).

(b) The need for leave is considered "foreseeable" when it is taken for any of the following reasons:

(a) Planned medical treatment for a serious health condition of the employee.

(b) Planned medical treatment for a serious health condition of a family member.

(c) An expected birth, placement for adoption, or foster care.

(c) If an employee fails to provide the requisite thirty (30) day advance notice for foreseeable events without any reasonable excuse for the delay, the City reserves the right to delay the taking of the leave by up to thirty (30) days after the date the employee provides notice of the need for FMLA/CFRA leave.

2. Unforeseeable Events.

If an employee requires FMLA/CFRA leave for an unforeseeable event, the employee is required to provide notice to the City as soon as is practicable.

3. Notice of Intermittent/Reduced Schedule Leave.

The notice requirements for foreseeable intermittent or reduced schedule leaves shall be the same as for other foreseeable leaves, and the notice requirements for unforeseeable intermittent or reduced schedule leave shall be the same as for other unforeseeable leaves.

4. Contents of Notice.

All requests for FMLA/CFRA leave should include the anticipated date(s) and duration of the leave and be sufficient to make the City aware that the employee needs leave under the FMLA/CFRA. The employee must state the reason the leave is needed. When the employee provides notice, it may not contain sufficient information for the City to determine whether the employee's leave could be for an FMLA/CFRA-qualifying purpose. In such cases, the City may follow up with the employee for additional

information, and the employee is required to respond to the same. However, the employee shall not be required to provide the City with a diagnosis.

5. Changes to Dates of Leave.

The employee must advise the City as soon as practicable when the employee learns that the dates of the FMLA/CFRA leave may change.

6. Requests for Extension.

Any requests for extensions of an FMLA/CFRA leave must be received at least five (5) working days before the date on which the employee was originally scheduled to return to work, where practicable, and must include the revised anticipated date(s) and duration of the FMLA/CFRA leave. If the employee has exhausted their leave entitlement, the City will evaluate on a case-by-case basis whether additional leave may be available as a reasonable accommodation for the employee's own serious health condition.

L. City Response to a Request for FMLA/CFRA Leave or Request for Extension - Eligibility Notice.

Within five (5) working days of an employee's request to take FMLA/CFRA leave, the City shall provide the employee with a written Eligibility Notice. The Eligibility Notice is not a designation of the employee being on FMLA/CFRA Leave. The Eligibility Notice shall include the following information:

1. Whether the employee is eligible to take FMLA/CFRA leave. If the employee is ineligible for FMLA/CFRA leave, the notice will include the reason(s) why the employee is ineligible.

2. Whether the employee has exhausted their twelve (12) week FMLA/CFRA entitlement.

3. Whether additional information, such as a medical certification, is required from the employee in order to process the employee's request for FMLA/CFRA leave or request for extension.

4. The employee's rights and responsibilities under the FMLA/CFRA will include a statement of whether the employee is required to provide a medical certification or recertification. A statement requiring a medical certification will also advise the employee of the anticipated consequences of their failure to provide adequate notice.

5. If the employee has requested an extension of leave for their own serious health condition but has exhausted their leave entitlement,

the City will advise whether additional leave will be granted as a reasonable accommodation.

M. Medical Certification and Recertification.

Any request for FMLA/CFRA leave for an employee's own serious health care condition or for FMLA/CFRA leave to care for a family member with a serious health condition must be supported by medical certification from the treating health care provider. Employees are encouraged to use the City's medical certification form to ensure that all pertinent information is obtained. Any request for an extension of FMLA/CFRA leave also must be supported by a medical certification from the treating health care provider. Again, employees are encouraged to use the City's medical certification to ensure that all pertinent information is obtained.

1. Timing of Request for Medical Certification.

The City will request medical certification:

(a) Within five (5) business days after an employee requests foreseeable leave;

(b) Within five (5) business days after an employee provides notice of an unforeseeable leave, or within five (5) business days after an unforeseeable leave commences, whichever is later;

(c) On a later date – if the City has a reason to question the appropriateness or duration of an employee's leave (FMLA only).

2. Timing for Employee's Return of the Medical Certification.

All medical certifications and re-certifications must be returned to the City within fifteen (15) days from the City request, regardless of whether the leave is foreseeable or unforeseeable. Exceptions to this may be granted when it is not practicable to provide the certification or recertification within fifteen (15) days, despite the employee's diligent, good faith efforts to do so.

3. Certification for Serious Health Condition of Spouse, Registered Domestic Partner, Parent, or Child.

The employee must have the patient's treating health care physician complete a medical certification form when requesting family leave to care for a family member with a serious health condition. Employees are encouraged to use the City's medical certification form to ensure that all pertinent information is obtained.

(a) Medical Recertification. If the employee requests additional leave beyond the time period which the health care provider originally estimated that the employee needed to take care of the

employee's child, parent, spouse, or registered domestic partner, the City may request a recertification from the employee.

4. Certification for the Employee's Own Serious Health Condition.

(a) First Opinion. The employee must have their health care physician complete a medical certification form when requesting FMLA/CFRA leave for their own serious health condition. Employees are encouraged to use the City's medical certification form to ensure that all pertinent information is obtained.

(b) Second and Third Opinions. If the City has reason to doubt the validity of the certification provided by the employee, the City may require the employee to obtain a second opinion from a doctor of the City's choosing at the City's expense. If the employee's health care provider and the doctor providing the second opinion do not agree, the City may require a third opinion, also at the City's expense, performed by a mutually agreeable doctor who will make a final determination that shall be binding on both the City and the employee.

(c) Medical Recertification. The City may request recertification of a medical condition upon the expiration of the time period which the health care provider originally estimated, if additional FMLA/CFRA leave is requested.

5. Certification for an Employee's Return to Work.

(a) Returning from a Continuous Leave. As a condition of restoration to their former position, an employee taking continuous leave under the FMLA/CFRA is required to provide the City with certification from their health care provider stating that the employee is able to resume their essential work functions. An employee who fails to provide the certification may have their reinstatement delayed.

(b) Returning from an Intermittent or Reduced Schedule Leave. If the employee is on intermittent or reduced schedule leave, the City may require a fitness for duty certification at fixed intervals not exceeding every thirty (30) days if there are reasonable safety concerns. "Reasonable safety concerns" means a reasonable belief of significant risk of harm to the employee or others.

(c) Contents of Certification. The City will provide the employee with a form and a copy of the employee's job description for their their health care provider to review in completing the fitness for duty certification, and employees are encouraged to use the City's

form to ensure that all pertinent information is obtained. The employee must provide a complete and sufficient fitness for duty certification. If the employee's health care provider releases the employee back to work with restrictions, the City will engage in the interactive process to determine what reasonable accommodation, if any, will permit the employee to return to work in accordance with the ADA and the FEHA.

6. Employee's Failure to Provide a Medical Certification or Recertification. If the employee fails to timely provide a complete and sufficient medical certification when requested, the request for FMLA/CFRA leave may be denied or delayed until a sufficient certification is provided. Employees will be advised of these consequences in connection with any request by the City for medical certification or recertification.

N. City's Designation of Leave. Absent extenuating circumstances, within five (5) working days after the City has acquired enough information to determine whether the employee's request qualifies for FMLA/CFRA leave, the City will provide the employee with a written Designation Notice.

1. Designating Leave as FMLA/CFRA-Qualifying. If the leave is designated as being FMLA/CFRA-qualifying, the Designation Notice will contain, but is not limited to, the following information:

(a) A statement that the leave is being designated as FMLA and/or CFRA leave;

(b) The amount of leave being counted as FMLA and/or CFRA leave, if known;

(c) Whether accrued paid leave will be used during the leave, and that any paid leave used will count as FMLA/CFRA leave;

(d) Whether a medical certification will be required to release the employee to return to work; and

(e) Whether a job description or description of essential duties is attached to the Designation Notice for the health care provider to use in completing the medical certification to release the employee to return to work.

2. Unable to Designate. If the City is unable to determine whether the leave requested is FMLA/CFRA-qualifying because more information is needed, the employee will be informed that the medical certification is incomplete or insufficient, and the City will

provide a list of deficiencies and explain the employee's opportunity to cure said deficiencies; or a second or third medical opinion is being required.

3. Not Designating Leave as FMLA/CFRA-Qualifying. If the City has determined that the employee's leave does not qualify as FMLA/CFRA leave, the City will notify the employee in writing that their leave is not being designated as FMLA/CFRA leave, and the reason for the denial.

O. Employment Benefits and Protection.

1. Previously Accrued Benefits and Seniority Status.

(a) Leave under the FMLA/CFRA will not result in the loss of any employment benefits accrued before the date the leave commenced.

(b) Leave under the CFRA will not constitute a break in service or otherwise cause the employee to lose longevity or seniority, even if other paid or unpaid leave constitutes a break in service for purposes of establishing longevity or seniority, layoff, recall, promotion, job assignment, or seniority-related benefits.

2. No Accrual of Leave or Seniority during Unpaid FMLA/CFRA Leave.

(a) An employee on unpaid FMLA/CFRA leave shall not accrue any additional paid leave time. Thus, employees will not accrue vacation leave, sick leave, administrative leave, nor will they be paid for holidays during the unpaid leave.

(b) The time off on unpaid FMLA/CFRA leave shall not count as time worked for purposes of establishing additional seniority for purposes of layoff, recall, promotion, job assignment, and other seniority-related benefits. However, during the time that an employee supplements their unpaid FMLA/CFRA leave with paid leave, the employee will continue to accrue leaves and benefits in accordance with the provisions of the City's policy governing those leaves of absence (i.e., when coordinating with sick leave, the rules governing sick leave will apply with regard to the employee's benefits).

3. Maintenance of Health Insurance of the Employee.

(a) Employees will continue to receive the same medical benefits while on FMLA/CFRA leave for up to twelve (12) workweeks in a twelve (12) month period. The City shall be

responsible for the continued payment of the City's share of the cost of the employee's health benefits during that twelve (12) workweek period. Benefits for absences beyond the allotted period will be handled in the same manner as benefits for employees on any other type of unpaid leave of absence.

(b) An employee who notifies the City that they do not intend to return to work from the FMLA/CFRA leave is not entitled to medical benefits provided by the City as if the employee were on a FMLA/CFRA leave and instead is entitled to the benefits provided to employees who are on an unpaid leave of absence for any other reason.

4. Maintenance of Benefits Requiring Employee Contributions.

(a) During any period of unpaid leave, unless otherwise prohibited by applicable law, an employee may elect to discontinue health insurance coverage for the employee, a spouse, registered domestic partner, and/or any dependent(s) as well as any other benefits offered or sponsored by the City to which the employee is required to make monthly contributions. Employees must notify the City in writing of such an election.

(b) An employee will continue to be responsible for making the payment of monthly contributions for which the City has not received advanced notice of election to discontinue. If any premium amounts are increased or decreased for other employees similarly situated, the employee will be required to pay the new premium rates.

(c) All monthly contributions are due and payable to the City at the same time as they would be if made through payroll deduction.

(d) If any monthly contributions are not received within thirty (30) days of their due date, the City has the option to either discontinue said benefit(s) or continue said benefit(s) by making the monthly contributions on the employee's behalf.

(e) Upon the employee's return to work, the City is entitled to seek reimbursement from him/her for the employee's share of any monthly contributions made on their behalf.

(f) Employees included in a pension or retirement plan may continue to make contributions in accordance with the terms of the plan during the period of leave. However, the City shall not be required to make plan payments for employees during the leave

period which is unpaid, and the unpaid leave period shall not be counted for purposes of time accrued under the plan.

(g) If the City provides a new health plan or benefits or changes health plans or benefits while an employee is on FMLA/CFRA leave, the City will give written notice to the employee to advise that the employee is subject to the new or changed plan/benefits in the same manner, and to the same extent, as if the employee were not on leave.

5. Failure to Return from Leave. The City may recover the entire premium it paid for maintaining health insurance benefits for an employee during any period of unpaid leave if the employee fails to return to work promptly upon the expiration of a leave for a reason other than the continuation, recurrence, or onset of a serious health condition that entitles the employee to leave or other circumstances beyond their control.

P. Reinstatement.

1. Restoration to Position.

When an employee returns from a leave under the FMLA/CFRA, the employee will be restored to the position held when the leave began, or to a comparable position, with equivalent (i.e. virtually identical) employment benefits, pay, and other conditions of employment.

The duties of the position must be capable of being performed in the same or similar geographic location, and involve the same or substantially similar duties as the position held when leave began, with responsibilities that entail substantially equivalent skill, effort, responsibility, and authority.

2. Denial of Restoration Rights.

The City may refuse to reinstate an employee to their pre-leave position at the conclusion of an FMLA/CFRA leave if the employee's position and any comparable position have ceased to exist because of legitimate business reasons unrelated to the employee's FMLA/CFRA leave. In this case, the City shall reasonably accommodate the employee through alternative means that will not cause undue hardship to the City's operation. The City may offer an employee any other position that is available and suitable. The City is not required to create new employment that would not otherwise be created, discharge or transfer another employee, or promote another employee who is not qualified to perform the job.

3. Opportunity to Fulfill Missed Requirements.

If an employee is unable to attend a necessary course, renew a license, or is otherwise adversely affected in terms of fulfilling minimum requirements or qualifications for the position as a result of the FMLA/CFRA leave the employee will be given a reasonable opportunity to fulfill those requirements or qualifications upon returning to work from FMLA/CFRA leave.

SEC. 10.3 PREGNANCY DISABILITY LEAVE OR TRANSFER.

A. Eligibility And Duration.

1. 1. Eligibility.

(a) Any employee who is disabled on account of pregnancy, childbirth, or related medical conditions may take a pregnancy-related disability leave, regardless of the number of hours worked or her length of employment with the City. However, unless an employee has met the eligibility requirements under this Policy, she shall not be subject to the additional terms and conditions that apply to an employee who is eligible for FMLA leave.

(b) An employee's pregnancy-related disability is not considered a serious health condition under the CFRA and is not counted against an employee's CFRA leave eligibility.

2. Amount of Leave Entitlement.

An eligible employee may take a pregnancy-related disability leave for the period of disability, up to four (4) months (an equivalent of 17 1/3 weeks). The pregnancy disability leave shall run concurrently with any family care or medical leave to which the employee may be entitled under the FMLA. An employee is entitled to take off the number of days or hours that the employee would normally work during 17 1/3 weeks of employment. For example, an employee, who regularly works forty (40) hours per week is entitled to take 693 hours of leave, and an employee who regularly works twenty (20) hours per week, would be entitled to 346.5 hours of leave.

3. Temporary Transfer.

Any employee affected by conditions related to pregnancy, childbirth, or related medical conditions is entitled to transfer temporarily to a less strenuous or hazardous position or to less strenuous or hazardous duties upon the certification of the employee's health care provider that the transfer is medically advisable– if the transfer can be reasonably accommodated.

4. Reasonable Accommodation.

The City will provide reasonable accommodation to an employee who is affected by pregnancy, childbirth, or related medical conditions as required by law.

B. Use of Accrued Leave.

An employee taking pregnancy-related disability leave must coordinate any available sick leave with her pregnancy-related disability leave. An employee taking pregnancy-related disability leave may, at her option, coordinate any other accumulated paid leaves, including, but not limited to, vacation time, holiday pay, compensatory time off, or administrative leave with her pregnancy-related disability leave. The paid leave shall run concurrently with the pregnancy-related disability leave, and shall not extend the employee's entitlement to pregnancy-related disability leave beyond the amount specified in Section 10.3 of this Policy.

1. Coordination with Wage Replacement Plans.

(a) This provision only applies when the employee's pregnancy-related disability leave is also designated as a serious health condition under the FMLA. Pursuant to the provisions of the FMLA, if an employee is receiving a wage replacement payment from State Disability Insurance, Short-Term Disability, and/or Long-Term Disability, the employee and the City may mutually agree to coordinate the employee's accrued paid leaves with the amount received from the wage replacement plan, up to an amount equal to the employee's regular salary.

(b) If the employee is still receiving SDI benefits when her twelve (12) workweeks of leave under the FMLA expire, the City will require that she begin coordinating any additional accrued sick leave with the wage replacement benefits. The employee may also elect to coordinate all other accrued paid leaves with the wage replacement benefits.

C. Notice.

An employee should notify her supervisor of her need for pregnancy-related disability leave or transfer as soon as she is aware of the need for such leave.

1. Foreseeable Events. Where the need for pregnancy-related disability leave or transfer is foreseeable, the employee must provide at least thirty (30) days' advance notice to the City of the need for pregnancy-related disability leave or transfer. If the leave or transfer is required in connection with any planned, non-emergency medical treatment or supervision, the employee shall consult with the City and make a reasonable effort to schedule any such planned medical treatment or supervision to minimize disruption to the City's operations, subject to the approval of the health care provider of the employee.

2. Unforeseeable Events. For non-emergency events that are not foreseeable thirty (30) days in advance, or when thirty (30) days' advance notice is not practicable, the employee must notify the City as soon as practicable under the circumstances, ordinarily within two (2) working days after the employee learns of the need for leave.

3. Notice of Intermittent Leave. In the event that an employee requires intermittent pregnancy-related disability leave, she shall notify the City of the anticipated dates for the absences as much in advance as possible.

4. Failure to Provide Notice. If the employee fails to provide the requisite thirty (30) day advance notice for foreseeable events without any reasonable excuse for the delay, the City reserves the right to delay the employee's right to take the FMLA/CFRA leave for up to thirty (30) days after the date the employee provides notice of the need for pregnancy-related disability leave or transfer.

D. Contents of Notice or Request for Extension.

1. All requests for pregnancy-related disability leave or transfer should include the anticipated timing and duration of the leave or transfer and be sufficient to make the City aware that the employee requires a pregnancy-related disability leave or transfer. Any requests for extensions of a pregnancy-related disability leave or transfer must be received at least five (5) working days before the date on which the employee was originally scheduled to return to work, where practicable, and must include the revised anticipated date(s) and duration of the pregnancy-related disability leave or transfer.

2. If the employee has exhausted her leave entitlement under Section 10.3, the City will evaluate on a case-by-case basis whether additional leave may be available as a reasonable accommodation; however, any such additional leave shall not be subject to the provisions of this Section.

E. Intermittent or Reduced Schedule Leave. Pregnancy-related disability leave can be taken on an intermittent or on a reduced schedule basis when medically advisable, as determined by the employee's health care provider. The minimum pregnancy-related disability leave increment that can be taken by an employee is fifteen (15) minutes. If pregnancy-related disability is taken on an intermittent or reduced schedule basis and it is foreseeable based on planned medical treatment because of pregnancy, the City retains the discretion to temporarily transfer the employee to an alternative position, for which the employee is qualified, with equivalent pay and benefits, which better accommodates the employee's leave schedule, but need not have equivalent duties.

F. City Response to a Request for Pregnancy-Related Disability Leave or Transfer or Request for Extension.

Within five (5) working days of an employee's request for pregnancy-related disability leave or transfer, the City shall provide the employee with a written Eligibility Notice, which shall conform to the provisions of Section 10.2. The Eligibility Notice shall also inform the employee of her additional rights under the California PDL. If the employee has exhausted her leave entitlement under Section 10.3, the City will advise whether additional leave will be granted as a reasonable accommodation; however, any such additional leave shall not be subject to the provisions of this Section.

G. Timing of Certification.

Any request for pregnancy-related disability leave or transfer must be supported by a medical certification from a health care provider.

1. For foreseeable pregnancy-related disability leaves or transfers, employees must provide the required medical certification before the leave/transfer begins. When this is not possible, employees must provide the required certification within 15 days, unless it is not practicable under the circumstances to do so. Failure to provide the required medical certification may result in the denial or delay of foreseeable pregnancy-related disability leaves or transfers until such certification is provided.

2. In the case of unforeseeable leaves, failure to provide the required medical certification within fifteen (15) days of being requested to do so may result in a denial of the employee's continued leave until certification is eventually provided. Any request for an extension of the leave/transfer must also be supported by an updated certification.

H. Contents of the Certification for Pregnancy-Related Leave. Employees are encouraged to use the City's medical certification when requesting pregnancy-related disability leave to ensure that all pertinent information is obtained. The following information must be included: (1) date the employee became or will become disabled due to pregnancy; (2) the probable duration of the period or periods of disability; and (3) an explanatory statement that, due to the disability, the employee is unable to work at all or is unable to perform any one or more of the essential functions of her position without undue risk to herself, to the successful completion of her pregnancy, or to other persons.

I. Contents of the Certification for Pregnancy-Related Transfers. Employees are encouraged to use the City's medical certification when requesting pregnancy-related disability transfer to ensure that all pertinent information is obtained. The medical certification for pregnancy-related

transfer shall include: (1) date the employee became or will become disabled due to pregnancy; (2) the probable duration of the period or periods of disability; and (3) an explanatory statement that, due to the disability, the transfer is medically advisable.

J. No Second/Third Opinions Allowed. There will not be a second or third opinion regarding pregnancy-related disability leave or transfer.

K. Return to Work Certification. As a condition of restoration to her former position, an employee taking leave under the FMLA/PDL is required to provide the City with certification from her health care provider stating that she is able to resume her original job duties.

L. City's Designation of Leave. Once an employee requests pregnancy-related disability leave or transfer, the Human Resources Director shall notify the employee in writing whether the requested leave or transfer is approved and qualifies as pregnancy-related disability leave or transfer. This designation shall comply with the provisions of Section 10.3, and shall also inform the employee of any additional rights and obligations under the California Pregnancy Disability Leave Law.

M. Employment and Benefits Protection. The provisions in this Policy regarding employment and benefits protection in connection with FMLA/CFRA leave also apply to all pregnancy-related disability leaves, except that where the City's policy permits employees on paid leave and/or unpaid leave to accrue seniority, employees on paid and/or unpaid pregnancy-related disability leaves shall also accrue seniority.

N. Reinstatement. Upon the completion of the employee's pregnancy-related disability leave or transfer period, and upon submission of the return to work notice, the employee shall be returned to the same position she previously held, or to a comparable position as permitted by law. However, for pregnancy-related disabilities, there is no reinstatement exception for key employees.

SEC. 10.4 MILITARY FMLA LEAVE.

The City provides for two (2) types of military family leave under FMLA and CFRA: military exigency leave, which is addressed in Section 10.4 A. and military caregiver leave, which is addressed in Section 10.4 B.

A. Military Exigency Leave.

1. Overview.

The City permits employees who have a covered military family member in the Armed Forces (including the National Guard or Reserves) to take up to twelve (12) workweeks

of FMLA leave due to a qualifying exigency resulting from the covered military family member's active military duty (or call to active duty status) in support of a contingency operation. Leave granted under this Section shall count against the FMLA and CFRA leave granted.

2. Definitions.

(a) Armed Forces. The Army, Navy, Air Force, Marine Corps, or Coast Guard, including the National Guard and Reserves.

(b) Covered Active Duty or Call to Active Duty Status. One of the following:

(a) For a member of a regular component of the Armed Forces, duty during the deployment of the member with the Armed Forces to a foreign country; or

(b) For a member of a reserve component of the Armed Forces, duty during the deployment of the member with the Armed Forces to a foreign country under a federal call or order to active duty in support of a contingency operation under a provision of law referred to in section 10.1(a)(13)(B) of Title 10, United States Code.

(c) Covered Military Family Member.

(a) An employee's spouse, registered domestic partner, son, daughter, or parent who is a member of the Armed Forces and is on Covered Active Duty or Call to Active Duty Status.

(b) For purposes of this definition only, "son" or "daughter" means the employee's biological, adopted, foster child, stepchild, legal ward, or a child for whom the employee stood in loco parentis, within the meaning of Section 10.2.D of this Policy, regardless of age.

(d) Covered Military Family Member's Child.

The biological, adopted, foster child, stepchild, legal ward, or child for whom the Military Family Member stands in loco parentis, within the meaning of Section 10.2.D of this Policy, who is either under the age of 18 or who is aged 18 or older but incapable of self-care because of a physical or mental disability at the time leave under this Section 10.4 is to commence.

(e) Covered Military Family Member's Parent.

The biological, adoptive, step, or foster father or mother, or an individual who stood in loco parentis, within the meaning of Section 10.2.D of this Policy, to a Covered Military Family Member who was under 18 years of age.

3. Qualifying Reasons for Military Exigency Leave.

Military exigency leave under CFRA can be taken for a qualifying exigency related to the covered active duty or call to covered active duty of an employee's spouse, domestic partner, child, or parent in the Armed Forces of the United States, as specified in Section 3302.2 of the California Unemployment Insurance Code. Similarly, military exigency leave under FMLA can be taken for the following non-medical, non-routine activities only:

(a) Short-Notice Deployment Activities. If a Covered Military Family Member receives seven (7) or less calendar days' notice prior to the date of deployment, an employee may take FMLA leave to address any issue arising from an impending call or order to active duty in support of a contingency operation. The employee may take FMLA leave for up to seven (7) days beginning on the date the Covered Military Family Member receives the notice of impending call or order to active duty.

(b) Military Events and Related Activities. An employee may take FMLA leave to attend any official ceremony, program, or event sponsored by the military that is related to the active duty or call to active duty status of the Covered Military Family Member. An employee may also take FMLA leave to attend family support or assistance programs and informational briefings sponsored or promoted by the military, military service organizations, or American Red Cross that are related to the active duty or call to active duty status of a Covered Military Family Member.

(c) Childcare and School Activities. An employee may take FMLA leave for the following reasons, if the reason is necessitated by the Covered Military Family Member's active duty or call to active duty status, or circumstances arising from it:

(a) To make alternative childcare arrangements of a Covered Military Family Member's Child;

(b) To provide childcare for a Covered Military Family Member's Child on an urgent, immediate need basis, but not on a regular, routine, or everyday basis;

(c) To enroll in or transfer a Covered Military Family Member's Child in a new school or day care facility; and/or

(d) To attend meetings with staff at a school or day care facility, such as regarding disciplinary measures, parent-teacher conferences, or meetings with school counselors, for a Covered Military Family Member's Child.

(d) Financial and Legal Arrangements. An employee may take FMLA leave in order to make or update financial or legal arrangements to address the Covered Military Family Member's absence while on active duty or call to active duty status; and/or to act as the Covered Military Family Member's representative before a federal, state, or local agency for purposes of obtaining, arranging, or appealing military service benefits while the Covered Military Family Member is on active duty or call to active duty status (up to a period of ninety (90) days following the termination of the Covered Military Family Member's active duty status).

(e) Counseling Activities. An employee may take FMLA leave to attend counseling, provided that:

(a) The need for counseling arises from the Covered Military Family Member's active duty or call to active duty;

(b) Such counseling is provided by someone other than a health care provider; and

(c) The counseling is for the employee, the Covered Military Family Member, and/or the Covered Military Family Member's Child. (Note that if medical counseling is needed due to a serious health condition, the employee may be able to take FMLA/CFRA leave under Section 10.2 instead.)

(f) Rest and Recuperation Activities. If a military member is granted short-term, temporary, rest and recuperation leave during the period of deployment, an employee may take FMLA leave to spend time with the military member. An employee may take FMLA leave for this purpose for up to fifteen (15) working days for each instance of rest and recuperation, beginning on the date the Covered Military Family Member commences each instance of rest and recuperation leave.

(g) Post-Deployment Activities. An employee may take FMLA leave to attend arrival ceremonies, reintegration briefings, events, and any other official ceremony or program sponsored by the military for a period of ninety (90) days following termination of the Covered Military Family Member's active duty status. An employee may also take FMLA leave to address issues that arise from the death of a Covered Military Family Member while on active duty status, such as meeting and recovering the body of the Covered Military Family Member.

(h) Parental Care.

An employee may take FMLA leave for care of a Covered Military Family Member's Parent who is incapable of self-care.

"Incapable of self-care" means that the individual requires active assistance to provide daily self-care in three (3) or more of the following activities: caring appropriately for one's grooming and hygiene, bathing, dressing, eating, cooking, cleaning, shopping, taking public transportation, paying bills, maintaining a residence, using telephones and directories, using a post office, or other activities or instrumental activities of daily living.

An employee may take parental care leave for the following purposes when the need arises from the covered active duty or call to active duty of the Covered Military Family Member:

(a) To arrange for alternative care of the Covered Military Family Member's Parent from the existing care arrangement;

(b) To provide care for the Covered Military Family Member's Parent on an urgent, immediate need basis (as opposed to a routine, regular, or everyday basis);

(c) To admit to or transfer to a care facility the Covered Military Family Member's Parent; or

(d) To attend meetings with staff at a care facility, such as meetings with hospice or social service workers, which are not regular or routine.

(i) Additional Activities.

An employee may take FMLA leave for another form of exigency, provided that:

(a) The reason for the leave arises out of the Covered Military Family Member's active duty or call to active duty;

(b) The City and the employee mutually agree that such leave shall be considered taken for a qualifying exigency; and

(c) The City and employee mutually agree on the timing and duration of the leave.

4. Employee Notice of Need for Military Exigency Leave

(a) Timing of Notice.

Employees are required to give notice of the need for military exigency leave as soon as practicable under the circumstances

(b) Content of Notice.

Employees are required to provide the City with sufficient information, depending on the situation, to notify the City as to the anticipated timing and duration of the leave, that a Covered Military Family Member is on active duty or call to active duty status, and that one of the qualifying exigencies in Section 10.4 is present.

(c) Updates from Employee.

The employee is required to advise the City as soon as is practicable when the dates of leave or other circumstances change.

5. City Response to Notice of Need for Military Exigency Leave.

The City will request any additional, necessary information needed to process the employee's request and will also follow the procedures set forth in responding to an employee's notice that they have a need for military exigency leave.

6. Certification of Need for Military Exigency Leave.

The City will request certification of the employee's need for military exigency leave when it provides notice under Sections 10.2 and/or 10.4, and will provide the employee with a form to complete or an explanation of the information needed. Employees requesting military exigency leave for the first time for a particular active duty or call to active duty are also required to provide the City with a copy of the military member's active duty orders.

(a) Required Information for Certification.

(a) A signed statement or description by the employee of the facts supporting the request for leave for one (1) or more of the reasons set forth in this Section and any available supporting written documentation, including, but not limited to, meeting announcements, appointment confirmations, or a copy of a bill for services.

(b) The approximate date on which the reason for the leave commenced, or will commence.

(c) The applicable timeframe.

(i) If, for a single, continuous period of time, the beginning and end dates for the employee's absence from work;

(ii) If, on an intermittent or reduced schedule basis, the estimated frequency and duration of the employee's absences.

(d) For leave involving a meeting with a third party, appropriate contact information for the individual or entity, such as name, title, organization, address, telephone number, fax number, and email address, as well as a brief description of the purpose of the meeting.

(e) For leave involving rest and recuperation activities, a copy of the Covered Military Family Member's Rest and Recuperation orders, or other documentation issued by the military indicating that the Covered Military Family Member has been granted Rest and Recuperation leave and identifying the dates of that Rest and Recuperation leave.

(b) Timing of City's Notice of Required Certification. The City will request the certification under the timeframes set forth in Sections 10.2 and 10.4.

(c) Insufficient or Incomplete Certification. Employees are required to provide a complete and sufficient certification. If an employee provides an incomplete or insufficient certification, the City will give the employee written notice of the deficiencies and seven (7) calendar days to cure the deficiencies, unless seven (7) days is not practicable, despite the employee's diligent, good faith

efforts. The employee's leave may be denied if the employee fails to provide timely a required certification.

(d) Verification of Certification. The City may verify the employee's certification by contacting the appropriate Department of Defense unit to verify the military member is on active duty or call to active duty status. If the exigency involves meeting with a third party, the City may contact the entity or individual with whom the employee is meeting to verify the meeting or appointment schedule and the nature of the meeting. The City will not request additional information. No permission from the employee is required for such verification.

B. Military Caregiver Leave.

1. Overview.

An employee who is the spouse, registered domestic partner, son, daughter, parent, or next of kin of a Covered Service member in the Regular Armed Forces, National Guard, or Reserves who has incurred a serious injury or illness in the line of duty while on active duty may take up to twenty-six (26) workweeks in a single twelve (12) month period per covered service member and per injury/illness of the service member. Leave granted under this Section shall run concurrently with the FMLA and CFRA leave granted under Section 10.2 (unless the employee is caring for their "next of kin" who is not covered by the CFRA). Leave granted under this Section shall be included in computing the employee's twelve (12) weeks of leave granted under the FMLA, so that an employee may not, under any circumstances, exceed twenty-six (26) total weeks of FMLA leave in a rolling twelve (12) month period.

2. Definitions.

(a) Armed Forces.

The Army, Navy, Air Force, Marine Corps, or Coast Guard, including the National Guard and Reserves.

(b) Authorized Health Care Provider.

For purposes of completing the certification, any one of the following may meet the requirement:

(a) United States Department of Defense ("DOD") health care provider;

(b) A United States Department of Veterans Affairs ("VA") health care provider;

(c) A DOD TRICARE network authorized private health care provider;

(d) A DOD non-network TRICARE authorized private health care provider; or

(e) Any health care provider permitted to provide medical certification under Section 10.2 of this Policy.

(c) Covered Service Member.

(a) A current member of the Armed Forces who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a Serious Injury or Illness; or

(b) A veteran who is undergoing medical treatment, recuperation, or therapy for a Serious Injury or Illness and who was a member of the Armed Forces, at any time during the period of five (5) years preceding the date on which the employee commences FMLA leave to care for the veteran. If the veteran was discharged or released under conditions other than dishonorable, prior to March 8. 2013, the period from October 28, 2009 through March 8, 2013 shall not be counted in determining whether the veteran's last day of service falls within the five-year period.

(d) Next of Kin. The nearest blood relative of a Covered Service member (other than their spouse, registered domestic partner, parent, son, or daughter), in the following priority order:

(a) A blood relative designated in writing by the service member as their nearest blood relative for purposes of military caregiver leave under the FMLA, who, if so designated, shall be the only next of kin for purposes of this Policy;

(b) Blood relatives who have been granted legal custody of the service member by court decree or statutory provisions:

(c) Brothers or sisters;

(d) Grandparents;

(e) Aunts or uncles; and

(f) First cousins.

If no blood relative has been designated, all blood relatives at the next applicable level of priority shall be considered "next of kin" who may take FMLA leave to provide care for the Covered Service member, either simultaneously or not.

(e) Outpatient Status. The status of a Covered Service member who is assigned to a military medical treatment facility as an outpatient, or a unit established for the purpose of providing command and control of members of the military receiving medical care as outpatients.

(f) Parent of a Covered Service member. A Covered Service member's biological, adoptive, step or foster father or mother, or an individual who stood in loco parentis to a Covered Service member.

(g) Son or Daughter of a Covered Service member. A Covered Service member's biological, adopted, foster child, step child, legal ward, or child for whom the Covered Service member stood in loco parentis, within the meaning of Section 10.2.D of this Policy, except that this definition shall apply regardless of the child's age.

(h) Serious Injury or Illness.

(a) For a current member of the Armed Forces. An injury or illness incurred by a Covered Service member in the line of duty on active duty (or that existed before the beginning of the member's active duty and was aggravated by service in the line of duty or active duty), and that may render the service member medically unfit to perform the duties of their office, grade, rank, or rating.

(b) For a veteran who is a Covered Service member.

An injury or illness that was incurred by the member in the line of duty on active duty in the Armed Forces (or existed before the beginning of the member's active duty and was aggravated by service in line of duty on active duty) and that manifested itself before or after the member became a veteran; and is one of the following:

(i) A continuation of a Serious Injury or Illness that was incurred or aggravated when the veteran was a member of the Armed Forces

and rendered him/her unable to perform the duties of their office, grade, rank, or rating; or

(ii) A physical or mental condition for which the veteran has received a U.S. Department of Veteran Affairs Service-Related Disability Rating (VASRD) of fifty (50) percent or greater, and the VASRD rating is based, in whole or in part, on the condition precipitating the need for the military caregiver leave; or

(iii) A physical or mental condition that substantially impairs the veteran's ability to secure or follow a substantially gainful occupation by reason of a disability or disabilities related to military service, or would do so absent treatment; or

(iv) An injury, including a psychological injury, on the basis of which the veteran has been enrolled in the Department of Veterans Affairs Program of Comprehensive Assistance for Family Caregivers.

(i) Veteran. A person who served in the Armed Forces, and who was discharged or released therefrom under conditions other than dishonorable.

3. Terms of Military Caregiver Leave.

Except for the differences set forth in this Section 10.4., the City shall grant military caregiver leave under the same terms that FMLA/CFRA leave is granted under Section 10.2 to care for a parent, spouse, registered domestic partner, or child with a serious health condition.

4. Required Certifications.

The City will provide the employee with a form to complete that certifies the service member's family relationship, military status, and Serious Injury or Illness. The employee is required to ensure that this form, or an equivalent form containing the information set forth in this Section, is completely and sufficiently completed and returned within the same time periods set forth in Section 10.2 of this Policy. If the employee fails to provide a complete and sufficient form, the City will inform him/her of the deficiencies, and grant the employee at least seven (7) calendar days to cure them.

(a) Certification of Family Relationship and Military Status. The City will require proof of the service member's family relationship to

the employee and proof of the service member's military status for the employee's first request of military caregiver leave for a particular illness or injury for a particular service member.

(b) Certification of Serious Illness or Injury. The City will require certification from an Authorized Health Care Provider that the service member is suffering from a Serious Illness or Injury. However, the employee will not be required to reveal the service member's diagnosis.

(a) The Authorized Health Care Provider may base the certification upon their personal determination and/or may certify their reliance upon determination(s) made by an authorized DOD representative or an authorized VA representative. The certification must also include:

(i) The name, address, appropriate contact information (telephone number, fax number, and/or email address) of the health care provider, the type of medical practice, the medical specialty, and the basis on which the person is an authorized health care provider, as set forth in Section 10.2, above;

(ii) The approximate date on which the injury or illness commenced, or was aggravated, and its probable duration; and

(iii) Information sufficient to establish that the Covered Service member is in need of care, and addressing the following matters:

i) Whether the need for care is for a single continuous period, and if so, an estimate of the beginning and ending dates, including any time needed for treatment and recovery;

ii) Whether there is a medical necessity for periodic care, based on a schedule of planned medical treatment, and if so an estimate of the treatment schedule;

iii) Whether there is a medical necessity for periodic care for reasons other than planned medical treatment, such as episodic flare-ups, and if so, an

estimate of the frequency and duration of the periodic care.

5. Alternative Certifications

(a) Special Automatic Certification. The DOD may issue a special invitation to a member(s) of a service member's family when a DOD health care provider has determined that the injury or illness is serious enough to warrant the immediate presence of a family member at the service member's bedside. If the DOD issues an invitational travel order ("ITO") or invitational travel authorization ("ITA") for "medical purposes" to any member(s) of the service member's family (even if the employee's name is not on it), the ITO or ITA constitutes automatic certification of military status and Serious Injury or Illness for the period of time specified in the ITO or ITA for the employee to take leave on either a continuous or intermittent basis, and the City will not require further certification of those matters for the specified period of time. However, in this circumstance, the City may still require proof of the covered family relationship between the employee and the service member. The ITO or ITA is in effect for the duration specified on it. If the employee wishes to request leave to care for a Covered Service Member beyond the period of time specified in an ITO or ITA, he/she must submit additional certification in accordance with Section 10.2 above.

(b) Documentation of Enrollment in Department of Veterans Affairs Program of Comprehensive Assistance for Family Caregivers. As another alternative to the certification required, the City will accept as sufficient certification documentation of the Department of Veterans Affairs Program of Comprehensive Assistance for Family Caregivers, whether or not the employee is the named caregiver in the enrollment documentation. However, the City may still require proof of the covered family relationship between the employee and the service member. The City may also require proof of the service member's date of discharge and proof that the service member's discharge was other than dishonorable.

6. Authentication and Clarification. The City may seek authentication and clarification of a certification issued this Section, of an ITO or ITA, or of documentation of enrollment in the Department of Veterans Affairs Program of Comprehensive Assistance for Family Caregivers.

7. Second and Third Opinions. No second or third opinions of the service member's Serious Illness or Injury will be sought from an

Authorized Health Care Provider who meets the criterion set forth in this Section; however, the City may request a second or third opinion by an Authorized Health Provider who meets the criterion in 10.5. No second or third opinions will be sought regarding an ITO or ITA for the period of time specified in the ITO or ITA.

8. Recertification. No recertification of the service member's Serious Illness or Injury will be sought.

9. Administrative Delays in Issuance of Military Documents. When an employee is unable to submit required documentation within the timeframe required under Section 10.3, despite their diligent, good faith efforts to obtain such documents, the City will not delay or deny leave on the grounds of such administrative delay.

SEC. 10.5 EMPLOYEE RESPONSIBILITIES AND DUTY TO COOPERATE

1. Employees are expected to fully cooperate with the City in meeting the obligations and requirements set forth under this Policy, as well as those set forth in state and federal law. An employee's cooperation includes, but is not limited to, timely completion of all requested forms and responding to all inquiries for additional information. Cooperation also requires that an employee respond to the City's inquiries for information to determine whether the employee is requesting leave under the FMLA, CFRA, and/or PDL. Employees are also required to consult with the City and make a reasonable effort to schedule foreseeable treatments so as to not unduly disrupt the City's operations. Employees on family care or medical leave must respond to the City's reasonable inquiries and keep the City updated as to the status of the employee's family care or medical leave.

2. Failure to cooperate with the City or failure to meet the employee's responsibilities may result in a delay in granting the employee's leave, a denial of leave, and/or a denial of the protections and benefits afforded by the FMLA, CFRA, and/or PDL. Employees who have questions about their responsibilities under this Policy should direct their inquiries to the Human Resources Department.

RULE 11. LAYOFF/SEPARATION/RETIREMENT

SEC. 11.1 ELIMINATION OF POSITIONS

Decreased public interest or changes in the City's operational or fiscal priorities may result in the elimination or curtailment of a public service activity which may therefore require the layoff of one or more employees.

SEC. 11.2 LAYOFF PROCEDURE

Whenever, in the judgment of the City, it becomes necessary, due to the lack of work, lack of funds, or other economic reason, or because the necessity for a position no longer exists, the City Council may lay off any employee from a position. The said layoff shall not be subject to appeal.

Employees laid off shall be given at least fourteen (14) calendar days' notice, and impacts bargaining with represented employee groups will occur as required by law.

Whenever there is a reduction in the work force, the City Manager shall first transfer the employee to a vacancy, if any, in any non-promotional position for which the laid-off employee is qualified. In order for the employee to retreat to a lesser position, the employee must request displacement action in writing, explaining the employee's qualifications, to the City Manager within five (5) working days of receipt of the layoff notice. Employees retreating to a lesser position shall be placed at the salary step representing the least loss of pay. In no case shall the salary be increased above that received in the position from which the employee was laid off.

Temporary, seasonal, and regular employees shall be laid off according to the needs of the service as determined by the City Manager.

In cases when there are two or more regular positions with the same job description from which the layoff is to be made, it shall be the City Manager's responsibility to consider the following criteria before making a discretionary determination regarding order of layoff:

A. Overall tenor of past evaluations (evaluations in the most recent sixty (60) days prior to layoff are excluded);

B. Seniority; and

C. Input from the affected department supervisor.

SEC. 11.3 RESIGNATIONS

Resigning employees shall be required to file a written resignation stating the effective date and reason(s) at least two (2) weeks prior to leaving the City's service, unless the time limit is waived by the City Manager. The effective resignation date should be the last day the employee actually worked. The resignation shall be forwarded to the HR.

SEC. 11.4 TERMINATIONS

The City Manager may terminate:

A. Employees at any time while they are on probation.

B. Employees in the exempt service at any time. This authority applies only to those exempt employees the City Manager has the authority to appoint.

C. Employees for disciplinary purposes in accordance with Rule 13, to the extent applicable.

SEC. 11.5 EXIT INTERVIEW

Any person leaving the City Service may be interviewed by the City Manager or designee. The purpose of the interview shall be to allow the City Manager to receive and give the employee an opportunity to provide their candid observations of the City employment in order to help improve personnel management and departmental functioning.

SEC. 11.6 BENEFITS AT SEPARATION

When an employee is separated for any reason, all benefits shall end as of the date of termination, with the exception of the employee's health benefits, which may continue through the end of the month in accordance with the rules of the applicable health benefits provider. Any accrued and unused vacation shall be paid out at separation. In the event an employee has received any advance of vacation and used more than the employee accrued prior to their separation date, the amount of the un-accrued but used vacation shall be deducted from the employee's final compensation, except as otherwise required by law.

RULE 12. OUTSIDE EMPLOYMENT/POLITICAL ACTIVITIES/CONTRACTS AND CONFLICTS OF INTEREST/CODE OF ETHICS

SEC. 12.1 OUTSIDE EMPLOYMENT

During the employees' work day, they are expected to devote full attention to their prescribed duties. Outside of their working hours, employees may engage in outside employment, enterprise or activity (collectively "outside employment') under the following circumstances only:

1. They notify the Department Director prior to beginning outside employment, providing sufficient information for the Department Director to determine whether the outside employment is consistent with this Rule.

2. The Department Director shall assess whether any of the following factors are involved in the proposed outside employment:

   (a) Receipt or acceptance by the employee of any money or other consideration from anyone other than the City for the performance of an act which the employee, if not performing such act, would be required or expected to render in the regular course

or hours of employee's City employment as a part of employee's duties as a City employee; or

(b) Performance of an act in other than the employee's capacity as a City employee which act may later be directly or indirectly subject to the control, inspection, review, audit, or enforcement by such employee or the department by which the employee is employed; or

(c) Conditions or factors which are likely to directly or indirectly lessen the efficiency of the employee in the employee's regular City employment, or conditions in which there is a substantial danger of injury or illness to the employee; or

(d) Use of City time, facilities, equipment, and supplies, prestige, influence, or confidential information of the employee's City office or employment for private gain or advantage; or

(e) Solicitation of future employment with any person or business entities doing business with the City over which the employee has some control or influence in employee's official capacity at the time of the transaction.

3. The Department Director will approve proposed outside employment that they determine does not:

(a) conflict with or is not incompatible or inconsistent with the employee's City responsibilities, including performance of overtime and emergency duties and any other aspect of City operations;

(b) lessen the effectiveness of the employee; and

(c) create a conflict of interest.

4. The Department Director shall advise the employee in writing as to whether the outside employment is approved or prohibited.

5. An employee may submit a written appeal to the City Manager within fourteen (14) days from the employee's receipt of the Department Director's written determination that a proposed outside employment is prohibited. The written appeal shall specify the grounds on which the employee challenges the Department Director's determination and shall include an attachment with all relevant documentary evidence for the appeal. The City Manager shall issue a written decision to the employee within fourteen (14)

days from the date of the meeting. The decision of the City Manager shall be final.

An employee with approved outside employment must notify the Department Director within one (1) working day regarding any changes to the terms or conditions of the outside employment that may have a potential adverse effect on the application of one or more of the factors under Section 12.1.

Employees shall be subject to disciplinary action pursuant to Rule 13 for violation of this Rule, including, but not limited to, failure to disclose outside employment, failure to provide timely updates regarding changes to outside employment, and intentional inclusion of material mis-statements or exclusion of material information in the employee's description of the outside employment.

SEC. 12.2 POLITICAL ACTIVITIES

Employees may not solicit political funds or contributions from other employees while on duty or on City property, nor may any employee participate in political activities while on duty or while in any uniform which would represent the City.

SEC. 12.3 CONTRACTS AND CONFLICTS OF INTEREST

No City employee can be financially interested in any contract made by him/her in their official capacity, or by anybody or board of which he/she is a member. All employees of the City are required to adhere to applicable local, state, and federal conflict of interest requirements and prohibitions, including but not limited to the provisions of Article 4 of Title 1, Division 4, Chapter 1 of the Government Code.

SEC. 12.4 CODE OF ETHICS

Employees of the City at all levels are guardians of public trust. Employees are required to be impartial and responsible in the fulfillment of their duties. The citizens and customers of St. Helena expect and must receive the highest standard of ethics from all those in public service, regardless of personal consideration.

1. Responsibilities of Public Service

All employees shall uphold the Constitution of the United States, the Constitution of the State of California, and to comply with Federal, State, and Local laws and City Policies. Recognizing the special responsibilities of serving the City and its citizens and customers, employees are required to maintain the highest standards of integrity and honesty, and they are expected to treat all members of the public and fellow City employees with respect, courtesy, concern, and responsiveness. The conduct of employees in both their official and private affairs should be above reproach to assure that their City position is not used for personal gain.

In addition, all employees shall comply with all applicable provisions of California law governing public employees and officials, particularly the California Political Reform Act and its provisions on gifts and conflicts of interest.

2. Use of Confidential Information

City employees shall not use confidential information acquired by or available to them in the course of their employment with the City for personal gain or for personable, non-City business related reasons.

3. Use of City Employment and Facilities for Personal Gain

All employees shall not engage in any activity which results in any of the following:

(a) Use of time, facilities, equipment, supplies, funds, or other resources of the City for the private advantage or gain for oneself or another or for campaign related political activities;

(b) Use or attempt to use their position to secure unwarranted privileges or exemptions for themselves or others;

(c) Disclosure or use of official information that is not available to the general public for private advantage or gain for oneself or another; and/or

(d) Use of the authority of their position with the City to discourage, restrain, or interfere with any person who chooses to report potential violations of any law or regulation.

No employee shall directly or indirectly accept:

(a) Private advantage, remuneration, or reward for oneself or another as a result of the prestige or influence of the City office, employment, or appointment;

(b) Financial consideration from any source other than the City for the performance of their official duties, except for stipends received as representatives on boards, commissions or committees at a local, regional, or state level; or

No employee shall give special treatment or consideration to any individual or group beyond that available to any other individual or group.

No employee shall discriminate against or harass a citizen or co-worker on the basis of race, religious creed, color, national origin, ancestry, sex, age, physical or mental disability, medical condition, sexual orientation, marital status, gender identity, gender expression, genetic characteristics or information, military and veteran status, and/or any other category protected by federal and/or state law.

All employees shall conduct themselves in a courteous and respectful manner at all times during the performance of their duties.

4. Reporting of Improper Activities

The City has a responsibility to conduct its affairs ethically and in compliance with the law. City employees and persons in City service are expected and encouraged to promptly raise questions and concerns regarding possible violations of City policy or local, State, or Federal law with their immediate supervisor or another management employee within the employee's department. Employees may also contact the City Manager or Human Resources department.

5. Enforcement.

In addition to any other penalty as provided by law, any employee found to be in violation of the Code of Ethics shall be subjected to appropriate disciplinary action, up to an including, employment termination.

RULE 13. DISCIPLINARY ACTIONS

SEC. 13.1 CAUSES

A. Disciplinary measures may be taken for any good and sufficient cause. The extent of the Disciplinary Action taken shall be commensurate with the offense provided that the prior employment history of the employee may also be considered pertinent. Cause may include, but is not limited to, the following:

1. Violation of City Personnel Rules, ordinances, regulations, rules, and/or administrative policies and procedures; or of standards established under California or federal law;

2. Failure to maintain job performance standards or to properly perform assigned duties;

3. Theft of, harm to, or waste of City property or the personal property of another;

4. Lack of workplace and job-related cooperation;

5. Insubordination;

6. Dishonesty;

7. Conviction of a felony, or conviction of a misdemeanor relating to the employee's fitness to perform assigned duties;

8. Unauthorized absence from employment or excessive absenteeism;

9. Tardiness;

10. Failure to maintain satisfactory working relationships with other employees or the public;

11. Reporting for work, or being at work, under the influence of or in possession of alcohol, or non-prescribed controlled substances;

12. Assault, battery, or fighting while on duty or under the guise of office;

13. Gambling on City property or during working hours;

14. Sleeping on the job or leaving the job without authorization;

15. Improper use of City funds;

16. Acceptance of bribes or extortion;

17. Unauthorized use of City property;

18. Falsification of records, including information provided on an application for employment or on time sheets;

19. Failure to properly care for City property;

20. Acceptance of any gift, (other than as provided for by written City policy) reward or other form of compensation in addition to compensation for performance of official duties;

21. Carelessness or negligence;

22. Misuse or failure to maintain any employment qualification;

23. Discourteous treatment of the public or fellow employees;

24. Disorderly conduct or horseplay;

25. Failure to comply with safety standards;

26. Interfering with the work performance of others;

27. Abuse of leaves of absence, including sick leave; and/or

28. Other failure of good behavior either during or outside of employment such that the employee's conduct causes discredit to the City.

B. Reduction in Pay. Reductions in pay which are part of a general plan to reduce salaries and wages as an economy measure are not disciplinary measures and do not trigger any rights of appeal under this Rule.

SEC. 13.2 AUTHORITY FOR DISCIPLINARY ACTIONS

Department Directors and/or the City Manager shall have authority to take Disciplinary Action.

Temporary or part-time employees may be discharged by the Department Head. A full-time employee may be discharged only by the City Manager. Department Heads may be discharged only by the City Manager, with the exception of the Fire Chief as provided in the Municipal Code.

The Human Resources Department shall be notified of any contemplated Disciplinary Action prior to the time it is taken, provided that in emergency situations or other instances when prior notification is not practicable, the Human Resources Department may be notified as soon as possible subsequent to the time the action is taken.

SEC. 13.3 TYPES OF DISCIPLINARY ACTION

A. Lesser Disciplinary Action.

1. Oral Reprimand. Oral reprimand as a Disciplinary Action means the employee is informed of their poor performance verbally by their supervisor. The employee shall have no right to prior notice and no right of appeal.

2. Written Reprimand. Written reprimand as a Disciplinary Action means an official notification of the employee that there is cause for dissatisfaction with their services and that further disciplinary measures may be taken if said cause is not corrected. Reprimand notices shall be made a part of the employee's official personnel record and may be considered as pertinent evidence or information in any appeal hearing. The employee shall have no right to prior notice and no right of appeal, but shall have a right to attach a response that will be included with the reprimand in the personnel file.

3. Suspension Without Pay For Less Than Five (5) Working Days. Suspension without pay shall be a temporary separation from City service. Prior to the imposition of the suspension without pay, employees shall be provided with a Notice of Disciplinary Action which sets forth the effective date and specific reasons for the suspension without pay. The Notice of Disciplinary Action shall also include copies of all written materials supporting the suspension

without pay. The employee's right of appeal is limited to the Complaint Procedure in Section 13.4.

4. Reduction In Pay. Reduction for a time period equivalent to less than a five (5) working day suspension. Reduction in step within range as a disciplinary measure is the withdrawal of increments granted for merit, efficiency and length of service. The maximum reduction in pay that may be given for any one Disciplinary Action shall be two (2) steps within the range for that class. Reduction in pay shall become effective on the first of the month following the effective date of the Disciplinary Action. Prior to the imposition of the reduction in pay, employees shall be provided with a Notice of Disciplinary Action which sets forth the effective date and specific reasons for the reduction in pay. The Notice of Disciplinary Action shall also include copies of all written materials supporting the reduction in pay. The employee's right of appeal is limited to the Complaint Procedure in Section 13.4.

B. Serious Disciplinary Actions. Serious Disciplinary Actions require due process as set forth in Rule 13.4. Serious Disciplinary Actions include the following:

1. Reduction in range equivalent to a five (5) or more working day suspension without pay.

2. Suspension without pay for five (5) or more working days, but not more than thirty (30) working days. Suspension without pay shall be a temporary separation from City service.

3. Demotion without consent as Disciplinary Action, shall be a reduction in classification or rank, with reduction in salary.

4. Dismissal means the discharge of an employee from the City service on the initiative of the employee's supervisor. Such termination of employment shall be permanent.

SEC. 13.4 PROCEDURES FOR SERIOUS DISCIPLINARY ACTIONS

A. Notice of Proposed Disciplinary Action. In instances of serious Disciplinary Actions as defined in Section 13.3, employees shall receive a written notice of proposed Disciplinary Action.

1. The notice of proposed Disciplinary Action shall state the proposed Disciplinary Action and the effective date and specific reasons for the proposed Disciplinary Action.

2. The notice of proposed Disciplinary Action shall include copies of all written materials supporting the proposed action.

3. The notice of proposed Disciplinary Action shall inform the employee of their right to respond, either orally or in writing, to the City Manager, as appropriate, within five (5) working days of the date of the notice of proposed Disciplinary Action if it was personally delivered, or within seven (7) working days of the date of the notice of proposed Disciplinary Action if it was delivered by United States mail. If the employee requests to respond orally to the notice of the proposed Disciplinary Action, the City Manager, as appropriate, shall schedule a meeting as soon as possible.

B. Notice of Decision. After review of the employee's timely written response, if any, or following the conclusion of the meeting, the City Manager shall issue and deliver to the employee a Notice of Decision which shall be a written statement of the decision to uphold, modify, or reject the proposed Disciplinary Action. Such action to be taken may not include discipline more severe than that described in the notice of proposed Disciplinary Action. Absent an agreed extension of time, the Notice of Decision shall be served within seven (7) working days after the receipt of the written response or the conclusion of the meeting, whichever is later.

C. Disciplinary Appeal Hearing.

1. Right to a Disciplinary Appeal Hearing. Any employee who has received a Notice of Decision imposing serious Disciplinary Action shall be entitled to request an evidentiary appeal of the imposition of discipline.

2. Requesting a Disciplinary Appeal. An employee wishing to appeal the imposition of a serious Disciplinary Action shall initiate the appeal by filing a written request with the City Manager within five (5) working days of the date of the Notice of Discipline if it was personally delivered, or within seven (7) working days of the date of the notice of imposition of discipline if it was delivered by United States mail. The request shall be addressed to the City Manager, and shall identify the subject matter of the appeal, the grounds for the appeal, and the relief desired by the employee. All disciplinary appeal hearings shall be conducted in private unless the employee requests a public hearing.

3. Scheduling the Disciplinary Appeal Hearing with the City Council. The City Manager shall schedule the disciplinary appeal hearing to take place at the closed personnel session at the next regular

meeting of the City Council, if so desired, the City Council may meet earlier by calling a special meeting.

4. Representation and Employee Appearance at Disciplinary Appeal Hearing. The employee is entitled to be represented by counsel or other representative at the disciplinary appeal hearing. However, an employee who requests a disciplinary appeal hearing must be present during the disciplinary appeals hearing. Failure to be present shall constitute a waiver of the employee's right to an appeal. Waiver will not occur if the employee can demonstrate good cause for their failure to be present within three (3) working days from the date the employee fails to appear.

D. Conduct of Disciplinary Appeal Hearings. The City Council, at its sole discretion may elect to have a neutral hearing officer conduct the appeal hearing. The proceedings before the City Council or hearing officer, as applicable shall be conducted as follows:

1. All parties shall have the following rights:

(a) To call and examine witnesses under oath;

(b) To introduce exhibits;

(c) To cross examine opposing witnesses on any matter relevant to the issue, even if the matter is not covered in the direct examination;

(d) To impeach any witness regardless of which party first called him/her to testify;

(e) To rebut the evidence against them; and

(f) To present oral and written arguments

2. The City shall have the burden of proof, and the burden shall be by the preponderance of the evidence.

3. The hearing shall not be conducted in accordance with the technical rules relating to evidence and witnesses, but shall be conducted in a manner most conducive to the determination of the truth. Any relevant evidence may be admitted if it is the sort of evidence on which responsible persons are accustomed to rely in the conduct of serious affairs, regardless of the existence of any common law or statutory rules which might make improper admission of such evidence over objection in a court of law. The City Council's decision shall not be invalided by any informality in the proceedings.

4. Hearsay evidence may be used for the purpose of explaining any direct evidence but shall not be sufficient in and of itself to support a finding unless it would be admissible over objections in civil actions.

5. The City Council or hearing officer shall not take testimony from one (1) party outside the presence of the other.

6. The rules of privilege shall be effective to the same extent that they are now or hereafter may be recognized in civil actions.

7. Irrelevant evidence and unduly repetitious evidence shall be excluded.

8. The City Council or hearing officer shall determine the relevancy, weight, and credibility of testimony and evidence.

9. The City Council or hearing officer shall have the power to exclude any witnesses.

E. Issuance of Decision.

Within thirty (30) days after the close of the hearing (which shall not occur prior to completion of a reporter's transcript, if requested by either party), a written statement of decision, containing findings of fact and conclusions of law, shall be issued by the City Council or hearing officer. If the hearing is conducted by a hearing officer, the hearing officer's decision shall be advisory to the City Council, and the City Council shall have the discretion to accept or reject the hearing officer's decision. The City Council shall have the authority to affirm, revoke, or reduce the Disciplinary Action imposed against the employee. The City Council may not provide for discipline more stringent that than that imposed by the City Manager.

If the City Council declines to accept the findings and conclusions made by the hearing officer, the City Council must review the record or provide for an additional opportunity to be heard, after which it may adopt the findings and conclusions made by the hearing officer, or adopt its own findings and conclusions.

The City Council's decision constitutes a final resolution of any Disciplinary Action and no further appeal shall be permitted within the City's administrative process. A copy of the City Council decision shall be provided to the employee and shall be made public at the next public session of the City Council.

Notwithstanding the above, the City Council shall not have binding authority to add, modify, or subtract from the Personnel Rules, or any resolutions, ordinances, or policies adopted by the City. Further, the City Council shall not have the authority or power to render a binding decision that requires the City to expend additional funds, to hire additional personnel, to buy additional equipment or supplies, or to pay wages or

benefits not specifically provided for in the Personnel Rules, or any resolutions, ordinances, or policies adopted by the City. The City Council shall not have the authority to require the City to perform any other action that would violate state or federal laws.

F. Judicial Review.

An employee may seek judicial review of the final decision by the City Council in accordance with Section 1094.5 of the California Code of Civil Procedure by filing a petition for a writ of mandate. Section 1094.5 of the Code of Civil Procedure requires that the petition writ of mandate must be filed not later than the ninetieth (90th) day following the date on which the City Council's decision becomes final.

SEC. 13.5 ADMINISTRATIVE LEAVE WITH PAY

An employee may be placed on an Administrative Leave with Pay temporarily to allow the City time to fully investigate the facts of an alleged violation, while the Disciplinary Action is in process, or when the City Manager or Human Resources Director determine that it is in the best interests of the City.

The employee on Administrative Leave with Pay must be reasonably available by telephone during their normal working hours (subject to adjustment, as provided below) and able to report to the City within sixty (60) minutes if directed to do so. An employee's normal working hours may be altered while on Administrative Leave with Pay to correspond with the City's typical business hours. When an employee is placed on Administrative Leave with Pay during this investigation, the employee may be directed not to discuss the alleged violation or the Disciplinary Action with anyone, except a legal or employee association representative of their choice. Failure to remain reasonably reachable by telephone or to report to the City within sixty (60) minutes of being directed to do so shall be considered insubordination, and could result in additional Disciplinary Action. The employee shall be informed that communicating with others, except a legal or employee association representative of their choice, about a pending investigation constitutes insubordination and is a separate and independent ground for discipline.

SEC. 13.6 TIME EXTENSIONS

Any time limitations or requirements as set forth under this Rule may be extended or changed by mutual written agreement of the parties.

SEC. 13.7 DELIVERY OF NOTICES

When notice is required under this Rule, the notice shall be given to the affected employee either by delivery of the notice to the employee in person; or if the employee is not available for personal delivery, by placing the notice in the United States mail, first Class, postage paid, and by traceable overnight delivery service (FedEx or equivalent) in an envelope addressed to the employee's last known home address. It shall be the

responsibility of the employee to inform the City, in writing, of their current home address and of any change in such address, and the information so provided shall constitute the employee's "last known home address". Such personal delivery or mailing shall be presumed to provide actual notice to the affected employee.

RULE 14. GRIEVANCE AND COMPLAINT PROCEDURE

SEC. 14.1 ESTABLISHMENT

These procedures are established in order to provide adequate opportunities for employees to bring forth their views relating to any unfair or improper aspect of their employment situation and to seek correction.

SEC. 14.2 SCOPE OF PROCEDURES

The procedures set forth in this Rule shall apply to all employee complaints and grievances, as defined herein, except where other methods have been specifically prescribed in these Rules, such as in the matters of dismissal, demotion and reduction, or in an applicable memorandum of understanding between the City and an exclusive representative of a unit or unit of employees.

SEC. 14.3 DEFINITIONS

A. Complaint. An allegation or charge that the complaining employee has suffered a wrong as a result of management action or inaction.

B. Complaint Procedure. The process by which a determination is made as to whether or not a wrong has been committed. Complaints may not be filed over matters for which there is a separate appeal, which are subject to the grievance procedure, or which are expressly excluded from the grievance procedure pursuant to Section 14.3.

C. Grievance. An expressed claim by an employee that the City has violated, misinterpreted, or misapplied an obligation to the employee as such obligation is expressed and written in a resolution, memorandum of understanding, or these Rules. Specifically excluded from the grievance procedures are the following:

1. Performance evaluations;

2. Deferred merit salary increases;

3. All Disciplinary Actions;

4. Probationary dismissals upon original appointment or rejection from probation;

5. Policy decisions of the City Council, including but not limited to resolutions, ordinances and minutes orders;

6. Complaints under the jurisdictions of Workers' Compensation law or Occupational Injury law or the applicable procedures for such complaints;

7. Transfer to another Position in the same classification without a loss of pay; and

8. Matters for which there is a separate investigation procedure or appeal process, including, but not limited to, the harassment prevention policy and disciplinary action.

D. Grievance Procedure. The process by which the validity of a grievance is determined.

SEC. 14.4 COMPLAINT PROCEDURE

A. Step 1. The employee shall discuss any complaint with their immediate supervisor within ten (10) working days after the employee knew, should have reasonably known, of the circumstances which for the basis of the alleged complaint. Grievances not timely raised shall be deemed waived. The immediate supervisor is required to review every complaint and attempt to settle it as quickly and fairly as possible. The immediate supervisor shall issue a written decision to the employee within five (5) working days from the date of their meeting with the employee.

B. Step 2. If the action taken by their immediate supervisor is not satisfactory, the employee shall submit their complaint in writing to the City Manager within ten (10) working days of receipt of the immediate supervisor's written decision. The City Manager or designee shall meet and discuss the complaint with the employee within five (5) working days of their receipt of the complaint. The City Manager or designee shall have twenty (20) days from the date of their meeting with the employee to issue a decision. The decision of the City Manager or designee is final.

SEC. 14.5 GRIEVANCE PROCEDURE

A. Step 1. Responsibility of Employee / Informal Resolution. The employee shall inform, in writing, their immediate supervisor of their grievance and relevant facts within five (5) working days after the employee knew, or reasonably should have known, of the circumstances giving rise to the grievance. The immediate supervisor shall hold discussions and attempt to resolve the matter after the employees has presented their grievance. Within ten (10) working days of receiving the grievance, the immediate supervisor shall give the employee a written reply after the discussions. It

is the intent of this informal meeting that at least one personal conference be held between the employee and their immediate supervisor.

B. Step 2 Department Head Review. If the grievance is not satisfactorily resolved in Step 1, the grievant must submit their grievance in writing to the Department Head within ten (10) working days after receiving their immediate supervisor's response. The statement must include the following:

1. A concise statement of the grievance including specific reference to any law, policy, rule, regulation and/or instruction deemed to be violated, misapplied or misinterpreted;

2. A full explanation of the circumstances involved;

3. The decision rendered by the immediate supervisor at Step 1;

4. The specific remedy sought by the grievant.

The Department Head or their designee shall take such review and investigative action as they deem necessary and hold a meeting with the grievance. The Department Head or their designee shall inform the grievant of their decision in writing within ten (10) days after receiving the grievance.

C. Step 3 City Manager Review. If the grievance is not satisfactorily resolved in Step 2, the grievant must present their grievance in writing to the City Manager within ten (10) working days after receiving their Department Head's written decision. The statement must include the following:

1. A concise statement of the grievance including specific reference to any law, policy, rule, regulation and/or instruction deemed to be violated, misapplied or misinterpreted;

2. A full explanation of the circumstances involved;

3. The decision rendered by the department head at Step 2;

4. The specific remedy sought by the grievant. The City Manager or their designee shall take such review and investigative action as they deem necessary and inform the grievant of their decision in writing within ten (10) days after receiving the grievance. Prior to issuing the written decision, the City Manager shall schedule a meeting with the employee to discuss the matter. The City Manager's decision will be in writing setting forth the decision and the reasons therefore and will be transmitted promptly to all parties in interest. The decision of the City Manager or their designee is final. Time limits for appeal shall begin the day following receipt of written decision. Within the

above time limits, either party may request a personal conference with the other.

SEC. 14.6 GENERAL PROVISIONS

A. No retribution or adverse employment action shall be taken against employees because of their use of the grievance or complaint procedures.

B. All documents, communications and records dealing with the processing of grievances and complaints shall be filed separately from personnel files.

C. Failure by the City at any step of this procedure to communicate the decision on the grievance or complaint within the specified time limits shall permit the grievant or complainant to proceed to the next step.

D. The grievant or complainant shall be present at all steps of the procedure.

E. Failure at any step of these procedures to appeal a decision on a grievance or complaint within specified time limits shall be deemed acceptance of the decision rendered by the employee.

F. The time limits specified at any step in this procedure may be extended by mutual written agreement of the City and grievant or complainant.

G. The original grievance or complaint shall accompany all requests for institution of the next step in the grievance or complaint procedure.

H. Communication with the grievant or complainant shall be processed by personal signed receipt of documents, or by email with a reply confirming receipt, or by traceable overnight delivery service (FedEx or equivalent).

RULE 15. POLICY AGAINST WORKPLACE VIOLENCE

SEC. 15.1 OBJECTIVES

The City is strongly committed to ensuring the safety of all employees. Consistent with this policy, acts or threats of violence, including intimidation, harassment, and/or coercion which involve or affect employees will not be tolerated, and will be subject to appropriate Disciplinary Action, up to and including termination. The following are the objectives of the City:

A. To ensure that all workplace threats and violent behavior are addressed promptly.

B. To ensure that the level of physical and facility security in City workplaces is sufficient to protect the health and safety of employees.

C. To ensure that all employees are appropriately trained in workplace security, diffusing hostile situations, and steps to take during an emergency incident.

D. To ensure that all Disciplinary Action taken for behavior prohibited under this Rule is reviewed, evaluated, and administered consistently and equitably throughout the City, and done so in a timely manner.

SEC. 15.2 THREATS OR ACTS OF VIOLENCE DEFINED

A credible threat of violence is a knowing and willful statement or course of conduct that would place a reasonable person in fear for their safety, or the safety of their immediate family, and that serves no legitimate purpose. General examples of prohibited workplace violence include, but are not limited to the following:

A. Threatening to harm or harming an individual or their family, friends, associates, or their property.

B. Fighting or challenging another individual to a fight.

C. Intimidation through direct or veiled verbal threats, or through physical threats, such as obscene gestures, grabbing, and pushing.

D. Making harassing or threatening telephone calls; sending harassing or threatening letters, emails, text messages, or other correspondence.

E. Intimidating or attempting to coerce an employee to do wrongful acts that would affect the business interests of the City.

F. Harassing surveillance or stalking, which is engaging in a pattern of conduct with the intent to follow, alarm, or harass another individual, which presents a credible threat to the individual and causes the individual to fear for their safety, or the safety of their immediate family, as defined in Civil Code section 1708.7.

G. Making a suggestion or otherwise intimating that an act to injure persons or property is appropriate behavior.

H. Possession of firearms (loaded or unloaded), weapons, or any other dangerous devices on City property. This includes "look-alike" weapons, such as toy guns. Weapons and dangerous devices may include, but are not limited to the following: blackjacks, slingshots, metal knuckles, explosive substances, dirks, daggers, gas- or spring-operated guns, knives having a blade longer than three and one-half (3½) inches, folding knives having a blade that locks into place, razor blades, and clubs.

I. Use of a personal or City-issued tool or other equipment in a threatening manner toward another.

SEC. 15.3 REPORTING WORKPLACE VIOLENCE

Any employee who is the victim of a threat or act of violence, or any employee who witnesses such conduct, should immediately report the incident to their supervisor or other appropriate person in the chain of command. Should the employee perceive that they are in immediate danger of a violent act, or has just been victimized by a violent act, or is a witness of a violent act or imminent violent act, the employee shall whenever possible:

A. Place themselves in a safe location.

B. If appropriate, call the Police Department or 911 and request immediate response of a police officer and be prepared to inform the police dispatcher of the circumstances and the exact location of where an officer is needed.

C. Inform the Human Resources Department or the City Manager of the circumstances.

D. Complete a written report as soon as possible and submit the original copy to the Human Resources Department.

E. Cooperate fully in any administrative or criminal investigation, which shall be conducted within existing policy and laws.

SEC. 15.4 REPORTING POTENTIAL FUTURE WORKPLACE VIOLENCE

Employees who have reason to believe they or any employee may be the subject of a violent act in the workplace or as a result of their City employment, should immediately notify the Human Resources Department or the City Manager.

SEC. 15.5 VIOLATION OF RULE

The City's prohibition against threats and acts of violence applies to all persons in the City operation, including but not limited to City personnel, contract and temporary workers, customers, and anyone else on City property. Violations of this Rule by any individual may be followed by legal action as appropriate, which may include, but is not limited to, seeking a temporary restraining order and/or injunction on behalf of employees if the situation warrants such action. In additional to appropriate legal action, violations of this Rule by employees, including making a false report under this Rule, may lead to appropriate Disciplinary Action pursuant to Rule 13, up to and including termination.

RULE 16. POLICY AGAINST HARASSMENT, DISCRIMINATION, RETALIATION, AND ABUSIVE CONDUCT

SEC. 16.1 GENERAL POLICY

The City is committed to providing a work environment that is free of discrimination, harassment, and retaliation. In keeping with this commitment, the City maintains a strict policy prohibiting harassment, including sexual harassment and takes reasonable steps to promptly correct discriminatory, harassing, and retaliatory conduct. This policy prohibits harassment in any form, including verbal, physical and visual harassment by or against any employee, intern, volunteer, applicant for employment, or vendor, or guest. This policy applies to all of the City's activities, wages, reviews, leaves, training, benefits, and all other conditions and terms of employment.

As a general guideline, harassment can be avoided if employees act professionally and treat each other with respect.

SEC. 16.2 PURPOSE OF POLICY

Federal and state law expressly prohibit discrimination and harassment of employees or applicants based upon race, color, national origin, religious creed, ancestry, physical or mental disability, medical condition, pregnancy, childbirth or related medical condition, age (40 and over), sexual orientation, sex, gender, gender identity, gender expression, genetic information, military or veteran status, marital status, or any other basis protected by applicable state or federal law, including association with individuals with these protected characteristics or perception that an individual has one or more of these protected characteristics.

The purpose of this policy is to establish a means to protect employees, applicants for employment, or guests from harassment. Additionally, this policy enforces the City's long-standing policy that all employees, applicants for employment, and guests should be able to enjoy a work environment that is free from all forms of unlawful discrimination or harassment. Discrimination, harassment, and retaliation constitute misconduct that can decrease work productivity, decrease morale and cause emotional and physical damage. Incidents of discrimination, harassment, or retaliation can result in serious economic implications such as high turnover, ineffective use of time during working hours, costly salaries paid for nonproductive work hours, and employee absences due to hearings and meetings related to discrimination, harassment, and retaliation complaints.

The further purpose of this Policy is to define and forbid discriminatory, harassing, and retaliatory conduct, to prohibit the condoning or perpetuating of such conduct, and to provide an efficient means for reporting and resolving complaints of discrimination, harassment, or retaliation against any individual who reports discrimination, harassment, or retaliation or who participates in an investigation of such reports.

SEC. 16.3 DEFINITION OF TERMS

A. Employee. An employee refers to any individual under the direction and control of the City under any appointment or contract of hire or apprenticeship, express or implied, oral or written. For purposes of this Policy, the term "employee" includes any individual who is an unpaid intern or volunteer of the City. The inclusion of any individual, including but not limited to unpaid interns and volunteers, in the definition of "employee" for purposes of this policy should not be interpreted to affect the applicability of any other policy or procedure of the City.

B. Legally Protected Category/Legally Protected Characteristic. Race, color, national origin, religious creed, ancestry, physical or mental disability, medical condition, pregnancy, childbirth or related medical condition, age (40 and over), sexual orientation, sex, gender, gender identity, gender expression, genetic information, military or veteran status, marital status, or any other protected basis under state, federal or local law, including association with individuals with these protected characteristics or perception that an individual has one or more of these protected characteristics.

C. Discrimination. Discrimination is any action or conduct by which an employee is treated differently or less favorably than other employees similarly situated because the employee is a member of a Legally Protected Category or Characteristic. Examples of conduct that can constitute discrimination if based on an individual's Legally Protected Category or Characteristic include, but not limited to, the following:

1. Failing or refusing to hire an individual based on their Legally Protected Category or Characteristic.

2. Terminating an individual from employment based on their Legally Protected Category or Characteristic.

3. Singling out or targeting an individual for different or less favorable treatment because of their Legally Protected Category or Characteristic.

D. Harassment. Harassment is any verbal, visual, or physical conduct based on an employee's membership in a Legally Protected Category, the perception that an employee in a member of a Legally Protected Category, or the employee's association with individuals in a Legally Protected Category, or perception that an individual has one or more of these Legally Protected Categories, that creates an intimidating, hostile or otherwise offensive working environment. Such conduct constitutes harassment when:

1. Submission to the conduct is made either an explicit or implicit condition of employment, or an unpaid internship or volunteer program;

2. Submission to or rejection of the conduct is used as the basis for an employment decision; or any decision related to an unpaid internship or volunteer program;

3. The harassment unreasonably interferes with an employee's work performance by altering the work conditions so that a reasonable person may find it more difficult to do the job, or creates an intimidating, hostile, or offensive work environment.

Harassing conduct can take many forms and includes, but is not limited to, slurs, jokes, statements, gestures, pictures, computer images, or cartoons regarding an employee's Legally Protected Characteristic.

Harassment on the job is prohibited whether it involves co-worker harassment, harassment by a supervisor or manager, or harassment by third parties doing business with or for the City.

E. Sexual Harassment. Unwelcome sexual advances, requests for sexual favors, or visual, verbal, or physical conduct of a sexual nature all may constitute sexual harassment when: (1) submission to such conduct is made a term or condition of employment; or (2) submission to or rejection of such conduct is used as basis for employment decisions affecting the individual; or (3) such conduct has the purpose or effect of unreasonably interfering with an employee's work performance by altering the work conditions so that a reasonable person may find it more difficult to do the job, or creating an intimidating, hostile or offensive working environment.

This definition includes potential forms of offensive behavior, such as the following:

1. Unwanted sexual advances.

2. Visual conduct, such as leering, making sexual gestures, displaying of sexually explicit jokes, derogatory images, and comments about an employee's body or dress.

3. Verbal sexual advances or propositions.

4. Verbal abuse of a sexual nature, graphic verbal commentary about an individual's body, sexually degrading words to describe an individual, suggestive or obscene letters, notes, or invitations.

5. Physical conduct, such as touching, assault, impeding, or blocking movements.

6. Retaliation for reporting harassment or threatening to report harassment.

Sexual harassment includes many forms of offensive behavior and may include harassment of a person of the same or opposite sex as the harasser.

Sexual harassment need not be motivated by sexual desire. Sexual harassment on the job is prohibited whether it involves co-worker harassment, harassment by a supervisor or manager, harassment by a subordinate, or harassment by third parties doing business with or for the City.

F. Abusive Conduct. Conduct of an employer or employee in the workplace, with malice, that a reasonable person would find hostile, offensive, and unrelated to an employer's legitimate business interests, even when not due to an employee's Legally Protected Category or Characteristic. It may include repeated infliction of verbal abuse, such as the use of derogatory remarks, insults, and epithets, verbal or physical conduct that a reasonable person would find threatening, intimidating, or humiliating, or the gratuitous sabotage or undermining of a person's work performance. Workplace bullying, including off-duty cyber-bullying of employees, is strictly prohibited. While abusive conduct and bullying are not per se unlawful, such conduct does violate City policy and will not be tolerated.

G. Retaliation. Taking adverse action against any employee because of (1) the employee's opposition to a practice the employee reasonably believes to constitute employment discrimination, harassment, retaliation, or abusive conduct or (2) because of the employee's participation in an employment discrimination, harassment, or retaliation investigation, proceeding, or hearing, or (3) because of such opposition or participation by a family member or close associate of the employee.

1. Protected Opposition. Protected opposition to perceived discrimination, harassment, retaliation, or abusive conduct includes, but is not limited to, threatening to file a discrimination, harassment, or retaliation complaint with any federal or state agency, or court, or complaining or protesting about alleged discrimination, harassment, retaliation, or abusive conduct to a supervisor, manager, co-worker, or other official. Protected opposition also includes a complaint or protest made on behalf of another employee or made by the employee's representative. The City also prohibits retaliation against somebody closely related to or associated with the employee exercising such rights. Opposition not made in good faith, or made in a manner which disrupts the workplace, or which constitutes an unlawful activity, or which includes badgering or threatening of employees or supervisors is not protected.

2. Protected Participation. Protected participation includes, but is not limited to, filing a charge, testifying, assisting, or participating in any manner in an investigation under this Policy, or in a proceeding, hearing or litigation under federal or state discrimination, harassment, or retaliation statutes, at other hearings regarding protected employee rights, such as unemployment compensation proceedings, and making requests for reasonable accommodation of a Legally Protected Characteristic.

3. Adverse Action. Adverse actions include, but are not limited to, the following acts: disciplinary actions, negative performance evaluations, undesirable transfer, undesirable assignments, negative comments, unwarranted criticism, actions that harm the employee outside the workplace, undesirable change in benefits, undesirable change in work schedule, unwarranted exclusion from meetings or events, or undesirable change in work duties.

H. Supervisor. Any individual having the authority to hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward, or discipline other employees, or the responsibility to direct other employees, or to adjust their grievances, or to effectively recommend such action, if the exercise of that authority is not of a merely routine or clerical nature, but requires the use of independent judgment.

Employees who have questions regarding these definitions or are uncertain what constitutes discrimination, harassment, sexual harassment, retaliation, or other prohibited conduct under the City's policy should contact a supervisor, the Human Resources Department, or the City Manager.

SEC. 16.4 REPORTING DISCRIMINATION, HARASSMENT, RETALIATION, OR ABUSIVE CONDUCT

A. In General. The City's complaint procedure provides for an immediate, thorough, impartial, and objective investigation of every discrimination, harassment, retaliation, and abusive conduct claim, appropriate disciplinary action against one found to have engaged in prohibited discrimination, harassment, retaliation, or abusive conduct, and appropriate remedies to any victim of discrimination, harassment, retaliation, or abusive conduct. The City encourages reporting of all perceived incidents of discrimination, harassment, retaliation, and abusive conduct.

B. Complaint Procedure

1. The City cannot resolve discrimination, harassment, retaliation, or abusive conduct unless the City is aware of the situation. The City relies upon its employees to bring those concerns to the attention

of the City so that the necessary steps can be taken to correct the situation, and all employees are encouraged to do so. Accordingly, any employee, applicant, or guest who believes he or she has been harassed, discriminated or retaliated against or subjected to abusive conduct should promptly report the facts of the incident/incidents and the name(s) of the individual(s) involved to their immediate supervisor, any supervisor, the Human Resources Department or to the City Manager.

2. Complaints can be made verbally or in writing and should include the following information:

(a) The employee's name and position title.

(b) The name of the person or persons committing the discrimination, harassment, or retaliation, including their title(s).

(c) The specific nature of the discrimination, harassment, retaliation, or abusive conduct, how long it has been going on, and any adverse employment action, demotion, failure to promote, dismissal, refusal to hire, transfer, etc., taken against the victim as a result of the harassment, if applicable, or any other threats made against the victim as a result of the harassment.

(d) Witnesses to the discrimination, harassment, retaliation, or abusive conduct, if any.

(e) Whether the victim previously has reported such discrimination, harassment, retaliation, or abusive conduct and, if so, when and to whom.

Notification to the City is essential. Employees may be assured that they will not be penalized in any way for filing a good faith complaint of potential discrimination, harassment, retaliation, or abusive conduct.

ALL EMPLOYEES SHOULD NOTE THAT THE FAILURE TO USE THE CITY'S COMPLAINT PROCEDURE MAY HAVE AN ADVERSE EFFECT ON ANY CLAIM UNDER THIS POLICY IF SUCH CLAIMS ARE LITIGATED.

C. Reporting Obligations

1. Any supervisor who receives a complaint of discrimination, harassment, retaliation, or abusive conduct; witnesses discrimination, harassment, retaliation, or abusive conduct; or has any reason to believe that discrimination, harassment, retaliation, or abusive conduct may have occurred in the workplace is required to

report the conduct immediately to the Human Resources Department or the City Manager.

2. A supervisor will be subject to discipline for failing to report offensive conduct that potentially constitutes discrimination, harassment, retaliation, or abusive conduct if the supervisor knew or should have known of the offensive conduct in the normal course and scope of their supervisory duties.

3. All other employees who observe or are advised about the discrimination, harassment, retaliation, or abusive conduct involving another employee are encouraged to report the conduct to a supervisor, the Human Resources Department, or the City Manager.

D. The City's Response to Reports or Complaints.

1. Investigation of Complaints.

(a) All incidents of discrimination, harassment, retaliation, and abusive conduct that are reported must be investigated appropriately by the City so that corrective and preventive actions can be promptly taken if warranted. The City will promptly undertake or direct an effective, thorough, impartial, and objective investigation of the allegations, which will be conducted by qualified personnel.

(b) The investigation will include obtaining information from the accused and anyone who may have been a witness to the alleged misconduct. Statements made in the course of the investigation will be kept as confidential as practicable.

(c) The City will document each complaint and track each investigation to ensure reasonable progress, timely closure, and reasonable findings based on the evidence collected.

2. Intermediary Measures. Employees may be placed on a leave of absence, temporarily transferred or assigned other working hours or duties, or subject to other intermediary measures, until the conclusion of the investigation.

3. Cooperation with the Investigation.

(a) It is important for the complaining party, the accused party, and all persons interviewed as witnesses during the investigation to understand that it is a violation of this policy to discuss any confidential investigation matters with other employees, or to conduct separate investigations at any time. The City will not

tolerate any employees who interfere with its own internal investigations, or internal complaint procedures.

(b) All employees involved in a workplace investigation into alleged discrimination, harassment, retaliation, or abusive conduct are required to fully and truthfully cooperate with the investigation. Failure to fully and truthfully cooperate with the investigation is grounds for disciplinary action, up to and including termination.

(c) All employees are prohibited from engaging in retaliation.

4. City Determination and Corrective Action.

(a) The City will make its determination based on the findings of the investigation and communicate that determination to the complaining employee, and to the accused. Parties are not entitled to copies of any notes or other written materials regarding the investigation, as these are considered to be confidential documents.

(b) If it is determined that the accused, or any other employee has violated City policies, appropriate corrective action will be taken. In addition, as part of the City's efforts to remedy the complaining employee's concerns, the complaining employee will be informed in general terms regarding any remedial measures and disciplinary actions imposed against the violator.

(c) In light of the City's desire to have a professional and productive work environment, the City reserves the right to take appropriate corrective action when an employee engages in inappropriate conduct that does not fully rise to the legal standards or definitions set forth in this Policy. For example, the City may take appropriate corrective action for inappropriate conduct, even if such conduct was not subjectively unwelcome or offensive to another employee of the City, or did not involve a legally protected characteristic.

5. Anonymity and Confidentiality.

(a) While the City will investigate anonymous complaints, the City strongly discourages anonymous complaints.

EMPLOYEES CHOOSING TO FILE A COMPLAINT ANONYMOUSLY MUST BE AWARE THAT ANONYMITY IN THE COMPLAINT PROCEDURE MAY COMPROMISE THE CITY'S ABILITY TO COMPLETE A THOROUGH INVESTIGATION.

(b) Employees should also be aware that should the City learn of the identity of an anonymous complainant, the City cannot guarantee that their identity will remain confidential, if the City determines in its discretion that disclosure is necessary to complete the investigation.

(c) The City will take all reasonable steps available to maintain the confidentiality of all complaints of discrimination, harassment, retaliation, and abusive conduct, as well as all information gathered during an investigation. However, the City retains sole discretion to determine whether disclosure of information is necessary to complete the investigation.

(d) All employees involved in the investigation of discrimination, harassment, retaliation, or abusive conduct complaints as either investigator(s), complainant(s), witness(es), or accused are required to keep all information related to the investigation confidential except as may be needed to consult legal counsel or an association representative (if any). Revealing such information is grounds for disciplinary action, except as expressly permitted by law, such as in discussion with a legal or employee representative.

SEC. 16.5 EMPLOYEE'S DUTY TO DISCLOSE BENEFITS RECEIVED

Employees are hereby informed that no supervisor, manager, or officer of the City, or other person or entity doing business with the City, is authorized to expressly or impliedly condition the receipt or denial of any benefit, compensation, or other term or condition of employment on an employee's acquiescence to any sexual demand.

To the contrary, all employees are instructed that they must refuse such demands and report them promptly either to their immediate supervisor, the Human Resources Department, or to the City Manager. Any employee who is found to have accepted any benefit from the City because he/she submitted to an unreported sexual demand will be disciplined appropriately, including but not limited to, reimbursement for the value of any benefits received. Any employee making such a demand will be similarly disciplined.

SEC. 16.6 ADDITIONAL ENFORCEMENT INFORMATION

In addition to the City's internal complaint procedure, employees should also be aware that the Equal Employment Opportunity Commission ("EEOC") and the Department of Fair Employment and Housing ("DFEH") investigate and prosecute complaints of discrimination, harassment, and/or retaliation in employment.

Employees can contact the EEOC as follows:

San Francisco City Office San Jose Local Office

450 Golden Gate Avenue
5 West P.O. Box 36025
San Francisco, CA 94102-3661
800-669-4000 | 510-735-8909 (TTY)
www.eeoc.gov

96 N. Third St., Suite 250
San Jose, CA 95112
800-669-4000 | 800-669-6820 (TTY)
www.eeoc.gov

Employees can contact the DFEH as follows:

Bay Area Regional Office
39141 Civic Center Drive, Suite 250
Fremont, CA 94538
800-884-1684 | 800-700-2320 (TTY)
www.dfeh.ca.gov

SEC. 16.7 TRAINING AND POLICY DISSEMINATION

A. All employees who are hired by the City will be given a copy of this Policy, and will receive guidance from the City on its provisions and the City's commitment to provide a workplace free from discrimination, harassment, and retaliation.

B. All employees will be trained in accordance with applicable requirements of the Fair Employment and Housing Act (Government Code § 12950.1) and implementing regulations.

Non-Supervisory Employees: Non-Supervisory employees will receive training lasting for a minimum of one (1) hour, within six (6) months of their assumption of a position, and will be trained once every two (2) years on matters relating to the prevention, reporting and correction of harassment, discrimination and retaliation. Seasonal and temporary employees may receive the above one-hour training if they are directly hired by the City.

Supervisory Employees:

1. All supervisory employees will be trained once every two (2) years on matters relating to the prevention, reporting, and investigation of harassment, discrimination, and retaliation. Further, individuals appointed to supervisory positions from a non-supervisory position or as a new employee shall receive training within six (6) months of their hiring or assumption of the supervisory position.

2. Supervisory training will last for a minimum of two (2) hours.

3. Supervisory training will be conducted in a classroom or other interactive setting and will, at a minimum, cover the following topics:

4. Information and practical guidance regarding federal and state statutory laws about sexual harassment;

   (a) Information about the correction of sexual harassment and the remedies available to victims of sexual harassment; and

   (b) Practical examples aimed at instructing supervisors in the prevention of harassment, discrimination, and retaliation.

   (c) Information and practical guidance regarding the prevention of abusive conduct, which is defined as follows: conduct of an employer or employee in the workplace, with malice, that a reasonable person would find hostile, offensive, and unrelated to an employer's legitimate business interests. Abusive conduct may include, but is not limited to, repeated infliction of verbal abuse, such as the use of derogatory remarks, insults, and epithets, verbal or physical conduct that a reasonable person would find threatening, intimidating, or humiliating, or the gratuitous sabotage or undermining of a person's work performance.

RULE 17. DRUG FREE WORKPLACE

SEC. 17.1 PURPOSE

It is the City's goal to create a healthy and safe working environment in order to deliver the best and most efficient services to the members of the City. It is the responsibility of all employees of the City to cooperate in efforts to protect the life, personal safety, and property of co-workers and members.

Substance abuse has been found to be a contributing factor to absenteeism, substandard performance, increased potential for accidents, poor morale, and impaired public relations. It is the goal of this policy to prevent substance abuse, including alcohol abuse, in the workplace by clearly stating employee responsibilities relative to substance abuse and by providing managers and supervisors with guidelines and procedures for the detection of such abuse and the enforcement of related rules. Accordingly, employees must take all reasonable steps to abide by and cooperate in the implementation and enforcement of these policies and regulations.

The City encourages employees who believe that they may have a drug or alcohol problem to voluntarily seek counseling, assistance, and/or rehabilitation, and will be supportive of those employees who voluntarily seek help before the City discovers that the employee has a drug or alcohol problem. Employees who think they may have an alcohol or drug usage problem are urged to voluntarily seek confidential assistance through the City's Employee Assistance Program (E.A.P.) However, the City will be equally firm in identifying and disciplining those employees who are substance abusers and do not seek help before performance issues arise or other misconduct occurs.

Alcohol and/or drug abuse will not be tolerated on or off the job for any employee, and disciplinary action, up to and including termination, will be used as necessary to achieve the goal of eliminating substance abuse in the workplace.

As required by the Drug-Free Workplace Act of 1988, this policy provides guidelines for the detection and deterrence of alcohol and drug abuse. It also outlines the responsibilities of City Manager and employees. To that end, the City will act to eliminate any substance abuse (alcohol, illegal drugs, prescription drugs or any other substance which could impair an employee's ability to safely and effectively perform the functions of the particular job) that increases the potential for accidents, absenteeism, substandard performance, poor employee morale or damage to the City's reputation. All employees and applicants should be aware that violations of this policy may result in discipline, up to and including termination, or in not being hired.

SEC. 17.2 APPLICABILITY

This policy applies to all employees of and to all applicants for positions with the City. This policy applies to alcohol and to all substances, drugs, or medications, legal or illegal that could impair an employee's or officer's ability to effectively and safely perform the functions of the job.

Certain City employees are also subject to the Omnibus Transportation Employee Testing Act of 1991 (Pub. L. No. 102-143, 105 Stat. 952, as amended), which requires alcohol and drug testing of safety-sensitive transportation employees who are required to have a commercial driver's license (49 CFR Parts 40, 382, 391, 392, and 395, as amended). Employees who are required to have commercial driver's licenses are covered by this Policy, except to the extent that it conflicts with any other District policy or state or federal law governing drug testing of employees required to possess a commercial driver's license.

SEC. 17.3 RESPONSIBILITY

It is the responsibility of all employees to understand and abide by the provisions of this policy. It is the responsibility of managers and supervisors to ensure that all employees and officers abide by the provisions of this policy.

SEC. 17.4 DEFINITIONS

A. Alcohol or Alcoholic Beverage. Any liquid containing ethyl alcohol (ethanol) and/or any beverage that has alcoholic content in excess of 5% by volume.

B. Applicant. Any person applying for employment with the City who has been extended a conditional offer of employment.

C. Controlled Substance. Any drug that is classified by the federal Drug Enforcement Administration into the five schedules or classes on the basis

of their potential for abuse, accepted use, and accepted safety under medical supervision. Examples of controlled substances include, but are not limited to, marijuana/cannabis metabolites, cocaine metabolites, opiate metabolites, amphetamines, and phencyclidine (PCP).

D. Drug(s). Any substance (other than alcohol) or metabolite capable of altering the mood, sensory perception, cognitive abilities, motor skills, reaction time, rationality or judgment of the individual in whose body it is present. The term "drug" refers to both Legal and/or illegal drugs, as defined herein.

E. Drug Paraphernalia. Any device or instrument used for injecting, smoking, consuming, or otherwise administering a controlled substance or legal and/or illegal drug, which includes, but is not limited to, the items set forth in California Health and Safety Code Section 11364.

F. Human Resources Department. The City's Human Resources Director or their designee.

G. Prescription Drug. Any substance lawfully prescribed by a licensed or regulated professional for consumption or use.

H. Illegal Drug. A controlled substance, a legal drug which has not been legally obtained, or a legal drug which was legally obtained, but that is being sold or distributed unlawfully.

I. Legal Drug. Any drug, including any prescription drug or over the counter drug, that has been legally obtained and that is not unlawfully sold or distributed.

J. Impaired. Diminished capacity, ability, mental acuity, or performance.

K. Intoxicant. Any substance (including alcohol and/or alcoholic beverages) or metabolite capable of altering the mood, sensory perception, cognitive abilities, motor skills, reaction time, rationality or judgment of the individual in whose body it is present.

L. Reasonable Suspicion. A belief based upon objective facts sufficient to lead a reasonably prudent person to suspect that an employee is under the influence of drugs or alcohol so that the employee's ability to perform the functions of the job is impaired or so that the employee's ability to perform their job safely is reduced. For example, any of the following, alone or in combination, may constitute reasonable suspicion:

1. Slurred speech;

2. Alcohol odor on breath, or other observed odor from an employee that is customarily associated with drug or alcohol use;

3. Unsteady walking and movement;

4. Physical impairment (e.g., glassy eyes, eye dilation, shaking, or erratic movement);

5. An accident involving damage to City property or personal injury;

6. Physical altercation;

7. Verbal altercation;

8. Unusual behavior;

9. Job impairment;

10. Possession of alcohol or drugs; or

11. Information obtained from a reliable source with personal knowledge.

M. City Manager. The City Manager or their designee.

N. Under the Influence of Drugs or Alcohol. The use of (1) any alcoholic beverage; (2) any illegal drug or substance, or (3) the use or misuse of any legal drug, in a manner and to a degree that impairs the employee's work performance or ability to use the City's property or equipment safely.

SEC. 17.5 POLICY

A. Employee Responsibilities. An employee must:

1. Sign and submit to their immediate supervisor or the Human Resources Director the Acknowledgement of Receipt of Drug-Free Workplace Policy, noting specifically that the employee has read, understood, and agreed to abide by the provisions of this policy as a condition of continued employment.

2. Not report to work or be subject to duty (on standby) while under the influence of alcohol and/or any alcoholic beverages. Employees shall not consume, use, possess, or be under the influence of alcohol and/or alcoholic beverages while on the City premises, on the City property, or in a City vehicle or at any time while on duty, during meal or rest periods, while on-call, while on stand-by or while wearing a City uniform.

3. Not report to work or be subject to duty while under the influence of drugs whenever the use of the legal drug might do any of the following:

   (a) Endanger the safety of the employee or another person;

   (b) Pose a risk of significant damage to the City's property or equipment; or

   (c) Substantially interfere with the employee's job performance or the safe or efficient operation of the City's business or equipment.

   (d) Also, employees shall not consume, use, possess, or be under the influence of any illegal drugs or intoxicants while on City premises, on City property, or in a City vehicle or at any time while on duty, during meal or rest periods, while on stand-by or while wearing a District uniform.

4. Notify their supervisor, Department Head and/or the Human Resources Director, before beginning work, when taking any medication or legal drugs, prescription or non-prescription, which may interfere with the safe and effective performance of duties or operation of City equipment. An employee who is unsure if a drug might impair their ability to perform the job properly and safely must advise their supervisor or Department Head of the potential concern before beginning work. In doing so, employees are not required to disclose the name of a medication or the medical reason for taking the drug, but may instead focus on the potential for impairment in relation to assigned job duties.

5. Not manufacture, possess, use, trade, offer to sell, sell, or buy drugs or alcohol during working hours or while subject to duty (on stand by), on breaks, during meal periods, or anytime while on the City's property or wearing a City-issued uniform. This policy is not intended to prevent an employee from lawful possession, purchase or use of prescribed and/or over the counter drugs that do not impair the employee's work performance or ability to use the City's property or equipment safely.

6. Not store in a locker, desk, automobile, or other repository on the City's property, any alcohol or illegal drug. This policy is not intended to prevent an employee from possessing alcoholic beverages in sealed containers in their personal vehicle. Nor is this policy intended to prevent presentation of alcohol as a gift.

7. Not directly or through a third party sell or provide drugs or alcohol to any person, including any employee, while either employee or both employees are on duty or subject to duty. This policy is not intended to prevent an employee from possessing alcoholic beverages in sealed containers in their personal vehicle. Nor is this policy intended to prevent presentation of alcohol as a gift, where otherwise permitted.

8. Submit to an alcohol and/or drug test when requested to do so by the employee's Department Head in accordance with the guidelines set forth in this policy.

9. Provide, within 24 hours of a request, bona fide verification of a current, valid prescription for any potentially impairing drug or medication identified when a drug test is positive. The prescription must be in the employee's name.

10. File an "Employee Report of Conviction for Violating Criminal Drug Statutes in The Workplace" form with the Human Resources Department within five (5) days of such conviction.

B. City Responsibilities.

1. The City Manager, in consultation with Human Resources, is responsible for reasonable enforcement of this policy.

2. The City Manager or supervisor, after consulting with Human Resources, may request that an employee submit to a drug and/or alcohol test in accordance with the guidelines set forth in this policy.

3. Whenever an employee refuses an order to submit to a drug or alcohol test upon appropriate request, the employee will be reminded of the requirements of this policy and the disciplinary consequences for their refusal. Such refusal may be considered insubordination and grounds for disciplinary action up to and including termination.

4. Where there is reasonable suspicion that an employee is under the influence of drugs or alcohol, the employee will be detained for a reasonable time until the employee can be safely transported home at the employee's own cost.

5. Employees must not physically search the person of another employee, nor may they search the personal possessions of another employee without that employee's consent in the presence of the City Manager or the Human Resources Director.

6. Supervisors must notify the Human Resources Department when they have reasonable suspicion to believe that an employee may have illegal drugs in their possession or in an area not jointly or fully controlled by the City. If the Human Resources Department concurs that there is reasonable suspicion of illegal drug possession, the Human Resources Department may notify the appropriate law enforcement agency.

C. Rehabilitation.

1. General. The City encourages those employees who think that they may have a problem with abusing drugs and/or alcohol to seek assistance and rehabilitation at an early date, prior to notification of alcohol/drug testing, prior to performance issues or other misconduct associated with abuse, and prior to any other means of discovery by the City of the employee's drug and/or alcohol problem. However, the City reserves the right to discipline employees, up to and including termination, who are discovered to have a problem with abusing drugs or alcohol, and do not come forward for help prior to the City's discovery or the City's demand that the employee submit to a drug or alcohol test.

2. Employee Assistance. The Employee Assistance Program (E.A.P.) is available to assist employees in their efforts to overcome problems with drugs and/or alcohol abuse. Information pertaining to such programs may be obtained by contacting the Human Resources Department.

3. Voluntary Referral. If done prior to the City's discovery of or request for a drug or alcohol test, an employee's effort to voluntarily seek treatment or rehabilitation for the first time, will not be used as the basis for disciplinary action. However, the City may in such cases require employees to comply with the provisions of the Last Chance Agreement and Follow-Up Testing.

4. Leave of Absence. If necessary, the employee may be granted a leave of absence in order to participate in treatment and rehabilitation. Such a leave of absence will be unpaid and subject to the requirements of applicable state/federal laws and the City's Personnel Rules regarding unpaid leaves of absences. An employee is required to exhaust all paid leaves prior to being granted an unpaid leave of absence for the purpose of receiving treatment and rehabilitation. Where permitted by applicable law, the City reserves the right to deny such leave if granting the leave would impose an undue hardship on the City.

5. Last Chance Agreement. The City has the discretion to allow employees who are undergoing treatment or rehabilitation to sign a Last Chance Agreement in lieu of termination for work-related drug or alcohol use. A Last Chance Agreement is a condition of continued employment, in which the employee promises to complete the treatment or the rehabilitation program and to comply with other specified terms. If the employee refuses to sign the Last Chance Agreement or violates the agreement, the employee will be subject to disciplinary action up to and including termination.

6. Follow-Up Testing. An employee entering a rehabilitation or treatment program may be required to submit to random testing for up to one (1) year after completion of the program. If the employee fails to comply or if further substance abuse is detected upon such testing, the employee may be subject to disciplinary action up to and including termination.

D. Drug Testing Guidelines.

1. Drug Testing. Employees subjected to a drug test will be tested by submitting to a urinalysis test. The urinalysis test will be administered by a medical facility designated by the City, according to its testing protocol. The drug test will test for the following classes of drugs: amphetamines, cocaine, THC, methamphetamine, opiates.

(a) Medical Marijuana. The City recognizes that the State of California has legalized the use of marijuana for certain medical uses as well as recreational use. However, in accordance federal law, the City treats medical marijuana the same as any other illegal drug that is subject to regulation under this Policy. The City reserves the right to take any action under this policy when the drug involved is marijuana, whether it is used for medical or non-medical purposes.

2. Alcohol Testing. Employees subjected to an alcohol test will be tested by submitting to a breathalyzer test. The breathalyzer test will be administered by the medical facility designated by the City, according to its testing protocol.

3. Pre-Employment Examinations.

(a) Required. Certain pre-employment physical examinations will include drug and alcohol testing. No drug or alcohol test will be administered prior to the applicant receiving a conditional offer of employment. Only safety sensitive positions or those positions that interact with children will be subject to this section. The City

will designate whether the position is safety sensitive or interacts with Children in the job announcement. For purposes of pre-employment drug/alcohol testing, this includes the following categories of positions:

Safety-Sensitive. Safety-sensitive positions include those positions with duties that are fraught with such risks to others that even a momentary lapse of attention can have disastrous consequences.

Interaction with Children. Positions that include interaction with children are those in which employees are directly responsible for protecting children or have continuous interaction or supervision that puts them in a position of influence over children.

(b) Results. A positive result for a drug and/or alcohol analysis may result in the applicant not being hired. If a drug screen is positive at the pre-employment physical, the applicant may be requested to provide, within twenty-four (24) hours of the request, bona fide verification of a valid current prescription for the drug identified in the drug screen. If the prescription is not in the applicant's name, or if the applicant does not provide acceptable verification, or if the drug is one that is likely to impair the applicant's ability to perform the job duties, the applicant may not be hired.

SEC. 17.6 ALCOHOL/DRUG TESTING OF EMPLOYEES

A. Cause. With the exception of the pre-employment drug and alcohol tests, employees will only be required to submit to drug and/or alcohol tests in the following circumstances:

1. When the City Manager, the Human Resources Director, or supervisor has a reasonable suspicion that the employee is under the influence of drugs or alcohol while on the job or subject to being called to the job.

2. When the City Manager, the Human Resources Director, or supervisor has a reasonable suspicion that the employee is in possession of drugs and/or alcohol in a manner which is in violation of this policy.

3. When an employee who suffers a work-related injury, which requires medical treatment other than first aid may be required to submit to a drug and/or alcohol test at the time they receive medical treatment for their injuries.

4. When the employee is subjected to Return to Duty and/or Follow-Up Testing following the employee's return from rehabilitation and/or treatment.

B. Documentation. When the City Manager, the Human Resources Director, or supervisor requests that an employee submit to a drug and/or alcohol test based on reasonable suspicion, that person must document in writing the facts constituting the reasonable suspicion that the employee in question is under the influence of drugs and/or alcohol. When possible, the employee's behavior should be witnessed and separately documented by another supervisor.

C. Prerequisite. Prior to the administration of any drug or alcohol testing, the City's designated physician and/or the City Manager, the Human Resources Director, or supervisor will attempt to obtain from the employee to be tested a completed and signed consent form. This form will provide the employee's consent in writing to physical and/or psychological examination and testing and will authorize the release of such information by the physician to the City. Refusal by the employee to sign a consent form is considered insubordination and may be grounds for disciplinary action, up to and including termination.

D. Results. If the drug screen is positive, the employee may be requested to provide, within twenty-four (24) hours of the test results, bona fide verification of a valid current prescription for the drug identified in the drug screen. The prescription must be in the employee's name.

E. Confidentiality. Laboratory reports and test results will not be included in an employee's general personnel file. Information of this nature will be contained in a separate confidential medical folder that will be securely kept under the control the Human Resources Department. The reports or test results may be disclosed to supervisors on a strictly need-to-know basis and to the tested employee upon request.

Disclosures, without employee consent, may also occur when:

1. The information is compelled by law or by judicial or administrative process;

2. The information has been placed at issue in a formal dispute between the City and the employee;

3. The information is to be used in administering an employee benefit plan; or

4. The information is needed by medical personnel for the diagnosis or treatment of the employee, when the medical personnel is unable to authorize the disclosure.

F. Disciplinary Action. Disciplinary action, up to and including termination, may be taken against an employee for any violation of this policy, including, but not limited to the following reasons:

1. Failure to comply with any of the Employee Responsibilities set forth in this policy.

2. Positive results from a drug and/or alcohol test.

3. Refusal to be tested in accordance with this policy.

4. Violation of or refusal to enter into a Last Chance Agreement.

SEC. 17.7 CONSTITUTIONALITY

It is the intent of this policy statement to conform to state and federal constitutional guarantees. Should any provision of this policy statement not conform to statutory, constitutional or court restrictions, such non-conforming provision(s) will not be enforced.

RULE 18. PERSONNEL FILES AND RECORDS

SEC. 18.1 IN GENERAL

The City maintains a personnel file on each employee. An employee's personnel file will contain only material that the City determines is necessary and relevant to the administration of the City's personnel program. Personnel files are the property of the City, and access to the information they contain is restricted, subject to, and in accordance with, this Policy.

A. Inspection of and Obtaining a Current or Former Employee's Personnel File.

1. A current or former employee wishing to inspect/ obtain copies of their personnel file must submit a written request to the Human Resources Department, along with reasonable proof of identity. A current or former employee who seeks to authorize another person to inspect copies of their personnel file must provide a satisfactory written authorization for inclusion with the written request along with proof of identity. Reasonable proof of identity may be required at the time of in-person pick up of requested documents.

2. The City shall issue a written notice setting a date for inspection of the personnel file within thirty calendar days of receipt of the request, to take place during normal business hours. With the requesting person's written consent, the date for inspection may be extended on one occasion by up to five (5) calendar days. If the

requesting person is a former employee who was terminated for violation of City policy or law involving harassment or workplace violence, the City shall have discretion to mail a copy of the personnel file at the City's expense instead of scheduling an in-person inspection.

3. The City shall issue a written notice setting a date on which the requested copies may be picked up in person during normal business hours and identifying the cost of reproduction that must be paid to the City at the time of pick up. The date for in-person pick up of the documents shall be no more than thirty calendar days after receipt of the request by the City. With the requesting person's written consent, that date may be extended on one occasion by up to five (5) calendar days. If the requesting person is a former employee who was terminated for violation of City policy or law involving harassment or workplace violence, the City shall have discretion to mail a copy of the personnel file at the expense of the City instead of scheduling an in-person pick up.

4. A current employee may inspect their personnel file at the place the employee reports to work, or may instead consent to inspect their personnel file at City Office without loss of compensation. Inspection by former employees and authorized representatives shall take place at the HR office, unless otherwise mutually agreed in writing by the City, and may require additional reasonable proof of identity.

5. A designated City employee must be present throughout the inspection. Neither personnel files nor contents of personnel files shall be removed from the place of inspection without advance written authorization from the Human Resources Director.

6. If the requesting person chooses delivery by mail instead of in-person pick up, the notice provided by the City shall also identify the additional actual postage expenses for which the requesting person must reimburse the City prior to receipt of the copies.

B. Limits on Frequency of Exercise of Rights to Inspect or Receive Copies of Personnel Files.

1. Current employees shall be entitled to exercise rights under this policy to inspect and obtain copies of personnel records at reasonable intervals upon reasonable notice in accordance with this policy.

2. Former employees shall be entitled to exercise rights under this policy to inspect or receive copies of their personnel records once per year.

3. The City shall comply with a maximum of fifty (50) requests per month filed under this policy by one or more representatives of current Employees.

C. Access to Personnel Records by Department Directors

1. Department Directors shall have access to all records, documents, and papers pertaining to employees in their department, if the examination shall aid in the discharge of their duties. All personnel records are confidential, and the Department Director shall maintain this confidentiality.

2. Each employee is responsible for keeping their file up to date by notifying the Human Resources Department of any changes to relevant personal information, including, but not limited to change of address, contact information, emergency contact information, and number and names of dependents for health benefit maintenance.

D. Personnel Action Form.

Every appointment, transfer, promotion, demotion, termination, or any other temporary or permanent change in status of employees shall be reported to the Human Resources Department in such manner as prescribed. A Personnel Action Form shall include the employee's name, title of position held, the department to which assigned, salary, changes in employment status, residence data, and such other information as may be considered pertinent. Signature of the Human Resources Director shall be included on Personnel Action Forms as a result of an appointment, promotion, demotion, transfer and termination. A copy of the Personnel Action Form shall be included in the employee's personnel file. A copy of the form shall be delivered to Finance before payment is made to the appointee.

RULE 19. POLICY ON THE USE OF ELECTRONIC COMMUNICATIONS

SEC. 19.1 PURPOSE

A. The City is making every effort to provide its employees with the best technology available to conduct the City's business. In this regard, the City has installed, at substantial cost, equipment such as computers and advanced technological systems such as electronic mail (E-mail) for use to conduct its official business.

B. This Policy was created to advise all users regarding the access to and the disclosure of information created, transmitted, received and stored via the use of land-line telephones, City-owned cellular phones, the Internet, City e-mail, computer systems, and Electronic Storage Systems. This policy also identifies the appropriate use of City cellular phones, ownership of City cellular phones, and address privacy of any data contained on or transmitted using City cellular phones, as outlined under this policy.

C. The City's Policy regarding the use of the Electronic Communications Systems, including, but not limited to, Internet, intranet, and E-mail is, among other things, intended to guide employees on the performance of their duties. This Policy is also intended to place all users on notice that they should have no expectation of privacy when using any of the City's Electronic Communications Systems.

D. The City reserves the right to monitor Internet use, all e-mail, and other computer transmissions, land-line telephones, City-owned cellular phones, as well as any stored information, created, or received by users within any of the City's Electronic Communications Systems. The reservation of this right is to ensure that public resources are being used appropriately and to ensure that the City's Electronic Communications Systems are operating as efficiently as possible in order to protect the public interest. All computer applications, programs, and any information—whether work-related or personal, created or stored by users on City's Electronic Communications Systems—are City Property.

E. This Policy applies to all employees of the City and to any person who is given access to the City's Electronic Communications Systems. No person shall access the City's Electronic Communications Systems without reading and complying with the procedures set forth in this Policy.

SEC. 19.2 DEFINITIONS

A. Cellular Phone (Mobile Phone). A type of short-wave analog or digital telecommunication in which a subscriber has a wireless connection from a mobile telephone to a relatively nearby transmitter. Types of cellular phones include Digital/Analog, satellite, Wi-Fi, as well as Smartphones such as Blackberry, iPhone, and other data-enabled phones including devices equipped with direct connect functionality.

B. Electronic Communications. Any transfer of signs, signals, writing, images, sounds, data, or intelligence of any nature transmitted in whole or part by a wire, radio, electromagnetic, photoelectric, or photo optical system, including but not limited to telephone calls, cellular phone calls, fax machine transmissions, text messages, and e-mail.

C. Electronic Communications Systems. All electronic equipment, devices, software, data, and/or other means of electronic communication (either furnished by the City or property of the employee used to conduct City business), including, but not limited to computer hardware and software, telephones, fax machines, cellular telephones, pagers, e-mail, Internet/World Wide Web, voice mail, personal digital assistants, and tablets. It also includes any wire, radio, electromagnetic, photo optical, photo electronic facilities for the transmission of Electronic Communications, and any computer facilities or related electronic equipment for the Electronic Storage of such communications as well as any newly created devices yet to be created.

D. Electronic Mail (E-mail). E-mail may include non-interactive communication of text, data, images or voice messages between a sender and designated recipient(s) by systems utilizing telecommunications links. It may also include correspondence transmitted and stored electronically using software facilities called "e-mail", "facsimile" or "instant messaging" system; or voice messages transmitted and stored for later retrieval from a computer system.

E. Electronic Storage Systems. Any stored data, wire or Electronic Communication incidental to electronic transmission thereof. It also means any stored communications by an Electronic Communications service for purposes of backup protection of such communication.

F. Hands-free. An adjective used to describe a device that can be used without the use of hands; most commonly used with mobile phones. Hands-free devices are equipped with both a speaker and a microphone. Common examples of hands-free devices are mobile headsets and earpieces, which can be wired or wireless, as well as blue-tooth devices, which use wireless technology to exchange data over short distances.

G. Messaging (Instant / Text (SMS) / PIN). A text-based conference over telecommunication lines such as the Internet and/or cellular frequencies between two or more people who may or may be connected at the same time.

H. Internet. Internet refers to a worldwide network of networks, connecting informational networks communicating through a common communications language or "protocol."

I. Landline. Landline refers to Standard telephone and data communications systems that use in-ground and telephone pole cables in contrast to wireless cellular and satellite services.

J. Smartphone. A cellular phone that is characterized as a wireless telephone set with special computer-enabled features, such as e-mail,

text-messaging, Internet, Web browsing, fax, PIM, and LAN connectivity that provides computing and information storage and retrieval capabilities for personal or business use. Examples include Blackberry, iPhone, and other data-enabled devices running software such as Windows Mobile and Android.

K. Social Networking Sites. Any web-based URL site that allows for the public or private posting of messages, photos or video. Social networking sites include, but are not limited to, Facebook, LinkedIn, Twitter, YouTube, Yelp, and Instagram.

L. Standards. Departmental directions or instructions describing how to achieve policy.

M. Users. Any person using the City's Electronic Communications Systems.

N. Vendors. Any private person or business enterprise doing business with the City.

O. Wi-Fi cellular phone. A cellular telephone that can automatically switch between conventional cellular and Wi-Fi VoIP modes, even during the course of a conversation. A Wi-Fi LAN acts, in effect, as a cellular repeater for such a phone.

P. Litigation Hold. Litigation Hold, also known as "legal hold," is used to preserve mailbox items, data and information stored on Electronic Storage Systems for discovery before and during legal proceedings, investigations or similar events. The goal is to preserve mailbox items from inadvertent or purposeful modification or deletion by the mailbox owner or any user with mailbox access, as well as automated deletion processes. Items in litigation hold are returned when discovery searches are performed.

Q. Public Record. Any record relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics.

R. Records Retention Schedule. The most current protocol or schedule, approved by the Council, related to the retention or destruction of the City records.

SEC. 19.3 POLICY AND PROCEDURES

A. Access of Electronic Communications Systems.

1. No regular, probationary, temporary, seasonal, or contractual City employee or volunteer shall access the City's Electronic

Communications Systems without reading and complying with the procedures set forth in this Policy.

2. All employees, official, contractors, interns and volunteers provided access to the City's Electronic Communications Systems, Electronic Communications, and Electronic Storage shall be given a copy of this and all related technology policies and shall sign an acknowledgement of the policies recognizing the parameters for compliance.

B. No Right of Privacy.

1. The City respects the individual privacy of its employees. However, employee privacy does not extend to the employee's work-related conduct or to the use of City-provided equipment or supplies. Employees should be aware that the terms of this Policy limit their privacy in the workplace.

2. 2. The City's Electronic Communications Systems, Electronic Communications, and Electronic Storage are City property and are intended for City business. All Electronic Communications and Electronic Storage within these systems are the property of the City, regardless of the content, including any personal communications. The City reserves the right to monitor the Electronic Communications Systems for any reason at any time without notice to the user(s), including the right to review, audit, and disclose all matters and content sent over and/or stored on Electronic Communications Systems.

3. As a result, employees should be aware that no Electronic Communications transmitted on the Electronic Communications Systems, or Electronic Storage contained within the systems, is private or confidential. Employees should have no expectation of privacy with respect to any use, including storage, business or personal, of the City's Electronic Communications Systems.

4. Employees should be aware that Electronic Communications and/or Electronic Storage can be copied, modified, and/or forwarded to others without the express permission of the original author. Therefore, employees must use caution in the storage, transmission, and dissemination of Electronic Communications outside of the City and must comply with all state and federal laws.

5. Electronic Communications and/or Electronic Storage of the City may be recognized as official records in need of protection/retention in accordance with state and federal laws. All electronic communications are subject to the Personnel Rules and

all state and federal laws, including but not limited to the California Public Records Act, open meeting laws, and the federal Electronic Communications Privacy Act.

C. Passwords.

All passwords created by the user or issued to the user are for the purpose of communication and are not to be shared, given, or otherwise disclosed to any other person. Passwords must not be shared and may be changed periodically by the City to ensure security. All security features contained within the City's Electronic Communications Systems such as passwords, codes, or delete functions will not prevent the City from accessing employees' business or personal Electronic Communications, stored or otherwise, on the City's Electronic Storage Systems.

D. Appropriate Use of Electronic Communications Systems.

The City's Electronic Communications Systems are designed to facilitate City business and communication through the appropriate use of the Electronic Communications Systems and Electronic Storage thereon. The City values its Electronic Communications Systems and Electronic Storage, and takes measures to safeguard them from corruption and illegal use, and to protect the City from any possible liability due to illegal use of the Electronic Communications Systems and Electronic Storage.

1. No user shall access the City's Electronic Communications Systems without reading and complying with the procedures set forth in this Policy.

2. All users requesting authorization to access the City's Electronic Communications Systems, Electronic Communications, and/or Electronic Storage shall be given a copy of all related technology policies and shall sign an acknowledgement of the policies recognizing the parameters for compliance with those policies.

E. Improper Use of Electronic Communications Systems.

It is the responsibility of each City employee to use the City's Electronic Communications Systems in a professional and courteous manner. The City forbids the use of its Electronic Communications Systems in a manner that violates any law, regulation, ordinance, or policy or procedure of the City. Electronic Communications Systems should not be used in any way that is offensive, harmful, or insulting to any person. Examples of prohibited uses include, but are not limited to:

1. Illegal activities;

2. Solicitation of funds;

3. Political messages or transmissions;

4. Messages or transmissions that violate the City's Policy Against Harassment, Discrimination, Retaliation and Abusive Conduct based on gender, genetic characteristics or information, race, color, national origin, ancestry, religion, creed, sex, physical or mental disability, medical condition, marital status, sexual orientation, gender expression or identity, age, pregnancy, childbirth, or related medical condition, military or veteran's status, or any other basis protected by applicable federal, state or local law;

5. Messages or transmissions that violate the City's personnel rules, and/or another policy of the City, including, but not limited to, policy against workplace violence or drug-free workplace policies; or

6. Any other message or transmissions which are in any way inappropriate.

F. Personal Use of Electronics Communications Systems.

The City's Electronic Communications Systems are primarily for conducting City business. Limited, occasional, or incidental use of the electronics communications systems (either furnished by the City or property of the employee) for personal, non-business purposed is permitted only under the following circumstances:

1. Personal use may not interfere with the productivity of the employee or their co-workers;

2. Personal use may not involve any prohibited activity described in this Policy;

3. Personal use may not involve conduct that is prohibited under other City Policy or Rule;

4. Personal use may not disrupt or delay the performance of City business;

5. Personal use may not consume City resources or otherwise deplete system resources available for City business purposes;

6. Personal use may not be used for personal employee gain or commercial ventures;

7. Personal use may not support or advocate non-City-related business purposes.

If an employee's personal use of the City's Electronic Communications Systems results in a cost to the City, the cost must be reimbursed to the City by the employee.

G. Retention of Electronic Communications.

1. All E-mail maintained on a City owned or furnished Electronic Communications Device or City controlled and maintained Electronic Communications System or stored on a City controlled or maintained Electronic Storage System is potentially a public record under California Public Records Act, Accordingly, employees and officials have the same responsibility for E-mail as for any other public record subject to the guidelines established under this Section.

2. No electronic communication shall be considered by the City to be retained in the ordinary course of business, with the exception of electronic communication containing content required to be retained by law. It is the responsibility of the creator to determine if an electronic communication sent internally should be classified as a record that requires retention in accordance with the City approved Records Retention Schedule. It is the responsibility of the recipient of an electronic communication received from outside City sources to determine if an electronic communication should be classified as a record that requires retention in accordance with the City Council approved Records Retention Schedule. Once retention status is determined, transfer of the electronic communication to a printed hard copy is required prior to deletion or purge from the electronic communication system.

3. Categories of E-mail: E-mail generally falls within two broad categories: transitory messages and public records of lasting value. Questions about the proper classification of a specific E-mail, record, or piece of information should be directed to the employee's supervisor or Department Head. City officials should consult with the City Manager or City Attorney.

    (a) Transitory Messages:

An E-mail should be categorized as a "transitory message" when it is a routine communication or information exchange; does not have lasting value; does not document City business that should be preserved for future reference; and conveys information of limited important, in lieu of oral communication and has very limited administrative value.

Transitory messages include notices of meetings or events, internal requests for information, minor announcements about employee activities, listserve messages, personal messages, phone messages, and invitations.

Some E-mail may contain information that is more than transitory, but not generally needed beyond a limited period or maintained in the ordinary course of business. Examples include preliminary drafts, notes, memos, and some routine correspondence. Such E-mail may be deleted after the default retention period established below, but

before the minimum two-year retention period for public records of lasting value, when the information is no longer needed for operational purposes and has limited historical significance or value.

Transitory messages should be read and deleted from the applicable City Electronic Communications System or Electronic Storage System within 30 days of receipt.

When job requirements necessitate retention for periods longer than 30 days, transitory messages should be moved off the applicable City Electronic Communications System or Electronic Storage System to an appropriate department folder, and deleted when their usefulness has ended.

(b) Public Records of Lasting Value:

An E-mail should be classified as a public record of lasting value when it (1) has operational value, such as administrative actions taken or planned, reports or recommendation, policies, procedures, guideline, templates, and information needed to ensure continuity of operations; (2) is required to be kept by law; (3) has fiscal value or is required for financial reporting and audits; and (4) has historical signification.

E-mail messages that have lasting value should (1) not be stored in an individual user's E-mail folders/files; (2) be electronically stored in a shared public folder on a departmental networked file system as directed by the IT Director; (3) be printed and maintained in hard copy format, if needed; and (4) be retained for at least the minimum two-year period required under the City's Records Retention Schedule.

Only the Department responsible for the retention of a specific type of information or record is required to store and control the disposition of a public record in electronic form. Other recipients should not retain messages longer than required for their respective job or position purposes. When the need no longer exists, the information should be deleted.

4. Default Retention Period.

(a) E-mail in the "deleted items" folder will be automatically deleted after thirty (30) days.

(b) E-mail in mailboxes, including any subfolder, will be automatically deleted after two (2) years.

5. Litigation Holds.

A litigation hold directive will be issued by the City Attorney's Office or City Manager's Office when required by law due to pending or threatening litigation.

A litigation hold directive overrides this Policy, as well as any records retention schedules.

E-mail and accounts of separated employees that have been placed on litigation hold status must be maintained by the IT Department until the hold is released.

No employee or official who has received a litigation hold directive may alter or delete an E-mail that falls within the scope of that hold. Such individuals will also be required to provide access to or copies of any Electronic Communications that they have downloaded and saved, or moved to some other storage account or device.

H. Access of Another Person's Electronic Communications.

Employees may not intentionally intercept, eavesdrop on, record, read, alter, retrieve, receive, send, or use another person's Electronic Communications and/or Electronic Storage without proper authorization. Employees, including system administrators and Supervisors, may not, without proper authorization, peruse Electronic Communications and/or Electronic Storage of other employees. Proper authorization may be granted as set forth this Policy.

I. Requests for Access to Employee's Data, Messages, and Phone Records.

Requests for access into an employee's individual data, messages, and phone records will be made to the City Manager. The City Manager may grant such request and direct appropriate action.

If the request is made pursuant to a Public Records Act request, then the City Manager may seek assistance of the City Clerk and the IT Director to obtain responsive records, request the employees to conduct a search of any Electronic Communications Device (whether personal or City issued) for such responsive records and request a written statement concerning the results of the search.

J. City-Wide Website Policies.

1. The City website, including all domains owned and maintained by the City, represents a fundamental communication tool for providing critical City information to the public. The goal of the website is to encourage increased participation in City government and to help create a more vibrant community for residents and visitors alike. Toward that end, the development and use of the City's sites are guided by the Web Site Policy.

2. The City Manager is responsible for the creation and implementation of the City website, ensuring compliance with the City's policies regarding the website, and maintaining and securing the City' servers and website.

3. To preserve the public nature of the City's website and to avoid any perception that the City endorses or provides favorable treatment to any private person or business enterprise (hereinafter collectively

referred to as "vendor"), no corporate or commercial logos or links to vendor sites will be allowed on the City's external website, unless such link represents a mission critical partnership and is permitted by the City Manager.

4. Vendors that create or maintain a website for the City must follow all policies established for the City's website.

5. The City's website is for "official use" only. All information disseminated through the City's website must be related to the official duties and responsibilities of employees and City departments.

6. The California Public Records Act applies to information processed, sent and stored on the Internet. Confidential information should not be posted on the City's external website. The City Manager must approve all posted information.

7. No City employee or official may use any City website for campaign-related purposes. Such campaign-related purposes include, but are not limited to, the following: statements in support or opposition to any candidate or ballot measure; requests for campaign funds or references to any solicitations of campaign funds; and references to the campaign schedule or activities of any candidate. No City official's website may be linked to any private website related to a candidate's campaign for elective office.

K. Internet Usage Policies.

1. Authorization for Internet Access. Authorization for Internet access must be obtained through the employee's immediate supervisor or Department Head. Once authorization is approved the employee is responsible for the security of their account password and will be held responsible for all use or misuse of their account. Users must maintain secure passwords.

2. General Provisions. The City reserves the right to limit access to certain sites deemed inappropriate. Access may be monitored at the request of a supervisor. Should the need arise; you are obligated to cooperate with any investigation regarding the use of your computer equipment.

Questions regarding confidential or proprietary information should be directed to the City Manager. City management has the right to monitor and log all transactions in or out of the system. All security features contained within the City's Electronic Communication Systems such as passwords, codes, or delete functions will not prevent

the City from accessing employees' Electronic Communications, stored or otherwise, on the systems.

3. Appropriate Use of the Internet. Employees who are granted access to the Internet are expected to use this access in a professional and courteous manner. The prohibited uses of Electronic Communications Systems described in this Policy apply to the use of the Internet. All users should be aware that appropriate use of the Internet includes, but is not limited to, the following rules:

   (a) Never use an account assigned to another user.

   (b) Never make an unauthorized attempt to enter any computer.

   (c) Never post, send, or provide access to any confidential City materials or information, unless authorized.

   (d) Never post, send or provide videos or still footage taken during working hours and/or during the course of employment to any social networking website.

4. Improper Use of the Internet. Employees should be aware that the improper use of the Internet also includes, but is not limited to:

   (a) Disclosing confidential information obtained in the course of employment;

   (b) Accessing websites or online content that may degrade, hamper, or impede on the performance and/or capacity of the City's Electronic Communication Systems;

   (c) Accessing gross, indecent, obscene, harassing, pornographic, or sexually explicit materials;

   (d) Accessing gambling sites;

   (e) Accessing illegal drug-oriented sites; and

   (f) The representation of yourself as someone else, real or fictional.

5. Accessing social networking sites.

   (a) Personal Use of Social Networking Sites. The City does not condone the personal use of social networking sites during the workday or by using City-owned equipment. Employees are also reminded and cautioned that information posted on a social

networking site may not be private or confidential. Employees are also reminded and cautioned that information posted on a social networking site may be used as evidence in administrative or legal proceedings. An employee's use of social networking sites in a manner that violates City Rules or Policies will not be tolerated by the City and may be grounds for disciplinary action, up to and including termination.

(b) Official City Use of Social Networking Sites. The City may elect to use social networking sites to communicate with the public. Such official use of social networking sites is regulated by the City Manager. No department in the City may establish a presence on any social networking site without the advanced approval of the City Manager.

No employee is authorized to post information on behalf of the City on any social networking site without the express, written permission of the City Manager. Unauthorized posting on behalf of the City will not be tolerated.

L. Employee Terms of Use for City-Issued Phones.

City-issued phones are provided for the conduct of City business. All telephone equipment (land-line phones and cellular phones) shall be issued to personnel according to the needs defined in their job description.

The use of phones by employees for making personal calls may be permitted, subject to the provisions of this Policy, if it does not interfere with the conduct of City business. The use of City's phones must be in accordance with the following procedures:

1. All calls should be limited to the shortest amount of time necessary to conduct City business.

2. All City employees must continuously strive to minimize costs.

3. Employees are not allowed to use City-issued phones in an illegal, illicit, or offensive manner.

4. Employees are not allowed to use City-issued phones to conduct personal for-profit business.

5. Safeguarding issued equipment is the responsibility of the individual employee. Misuse or abuse of equipment may be cause for disciplinary action and/or cost reimbursement.

6. Features on cellular phones such as directory assistance, busy signal confirmations, text messaging, and emergency interrupts should only be used for official City business and only when absolutely necessary. Misuse or negligent use of these features may be cause for disciplinary action and/or cost reimbursement.

7. Employees are not allowed to operate cellular telephones, tablets, PDAs, laptop computers, navigational devices or any other devices that may cause driver distraction when driving a City vehicle or when driving a private vehicle being used to conduct City business. Employees shall make every attempt to properly park their vehicle prior to using such devices. The only exception to this rule is if the employee uses a hands-free device.

8. Any personal calls made from a City-issued phone will be the responsibility of the employee. Employees are responsible for identifying minutes of personal use and then reimbursing the City for additional costs incurred by the City. The reimbursement amount should be a simple calculation of the per-minute rate charged for every minute of personal usage. This reimbursement should be made payable to the "City of St. Helena" and should be submitted as payment to the City within ten (10) days of receiving the bill.

9. The City may provide employees with a monthly cellular phone bill and quarterly desk phone usage report for the telephone numbers assigned to them. It is the responsibility of the employee to identify the minutes of personal use and reimburse the City. This reimbursement should be made payable to the "City of St. Helena" and should be submitted as payment to the City within ten (10) days of receiving the bill or usage report.

M. City-Issued Phone Monitoring.

The Human Resources Department is responsible for reviewing and monitoring their staff's cell phone bills on a regularly, usually monthly, basis. The Human Resources Department is also responsible for distributing the cell phone bills to employees for review. If cellular phone overage is due to increased City business use, the employee should tell their supervisor. The supervisor may then contact the Human Resources Department and request that the employee's plan be altered.

On an annual basis, the Human Resources Department may review which employees have cell phones and whether or not they still need them.

The Human Resources Department is responsible for documenting the issuance of a cell phone, its accessories, and ensuring that they are returned once the employee has exited the department.

N. Use of Personal Electronic Communications Devices or Private E-mail Accounts for City Business.

No user should conduct City business on any non-City issued Electronic Communications Devices or non-City E-mail account without prior written authorization from the City, and any such use is highly discouraged.

If any City business is inadvertently conducted on non-City issued Electronic Communications Devices or non-City E-mail accounts, the employee or official must: (a) forward all such Electronic Communications or records memorializing the City business to their City-issued Electronic Communications Devices or City E-mail account; or (b) print out any such Electronic Communications or records and retain them according to the procedure stated in this policy.

Any user who uses personally-owned Electronic Communications Devices to access the City's E-mail server for work-related purposes must be aware that by doing so, they are waiving certain privacy interests, and that City-related E-mails, data or other material accessed, located, stored, or transmitted on personal Electronic Communications Devices, are subject to all City Personnel Rules and policies and all federal, state, and local laws, including, but not limited to, the California Public Records Act, the Meyers-Milias-Brown Act, and open meeting laws.

Employees conducting City business on off-duty time on any Electronic Communications Device (whether personal or City-issued) must report such activities to their supervisor and note this activity on their timecard as time worked.

O. Violation of Policy.

Violations of this Policy shall be reported to the City Manager and/or the Human Resources Department. Any employee who accesses the City's Electronic Communications Systems without complying with the procedures set forth in this Policy or otherwise violated this Policy may be subject to disciplinary action, up to and including termination, as provided for in the City's Personnel Rules. In addition, misuse of the Electronic Communications Systems may, in appropriate cases, be referred for criminal prosecution.

RULE 20. VEHICLE USE POLICY AND ACCIDENT REPORTING

SEC. 20.1 PURPOSE

Employees may be authorized to operate City vehicles for the purpose of conducting City business, provided the employee driver is at least 18 years old, has a valid California Driver's License for the vehicle being drive, has reasonable experience driving the type of vehicle being used, could reasonably be expected to operate the vehicle in a safe and prudent manner and meets the requirements as set forth below.

Compliance with California law and these rules are required for any eligible driver to be authorized to use a City vehicle and for any driver of a non-owned, borrowed or rental vehicle being used on City business when authorized passengers will be transported. The City is authorized to deny a vehicle to anyone if, in the sole opinion of the City, there is any reason the vehicle may not be operated safely. Individual supervisors may impose additional standards, restrictions, or driver education or training requirements. This Rule is in addition to any requirements, standards, operating restrictions, or suspensions imposed by law.

SEC. 20.2 AUTHORIZED DRIVERS

Authorized drivers are City employees, and those officially authorized volunteers and agents, Volunteers or agents may be considered employees for vehicle liability coverage, provided the vehicle use is solely for the benefit of the City or to conduct City business, and the volunteer or agent is officially authorized to drive by the City. Contractors are not eligible and may not use City vehicles without written authorization from the City.

Authorized drivers are not consultants or vendors, speakers, members of special event groups, government representatives, or members of visiting community organizations.

SEC. 20.3 AUTHORIZED PASSENGERS

Authorized passengers include those in official City-sponsored or authorized transportation programs and City employees, agents, or volunteers while on authorized City business. Authorized passengers may also include persons who are on location at the City's request, for example, for potential employment at the City, to provide contracted services, or for participation in a City event/program. Other examples of authorized passengers include visiting faculty/staff, government representatives, or community organizations. All other passengers are prohibited from traveling in City a vehicle.

Examples of unauthorized passengers are employee's spouse, children, or other family members, friends, or neighbors of a City employee driver, or members of the general public.

SEC. 20.4 APPROVED USERS

City vehicles may be used solely for the purpose of conducting City business. Examples of approved uses include conducting departmental business, business errands, or a City employee on site, City-related sponsored, or approved conferences, meetings, events, and use by volunteers in programs sponsored by, directed by, or for the sole benefit of the City.

SEC. 20.5 SUPERVISORY RESPONSIBILITY

It is the responsibility of the Department Head where vehicles are assigned to see that their vehicles are in proper working condition. Each Department is responsible for instructing new employees in the proper method of fueling and servicing vehicles. Employees must ensure that each vehicle is mechanically maintained, washed and cleaned, and parked within its designated area.

Designated City employees must have City vehicles in readiness for emergency purposes. Duty or standby employees (Maintenance Departments) may be authorized to take assigned vehicles home. In addition, the City Manager may provide authorization for other positions to take vehicles home on an as needed basis.

Employees authorized to operate City-owned vehicles must maintain and carry a valid California Class A, B or C driver's license.

SEC. 20.6 VEHICLE OPERATOR RESPONSIBILITIES

A. Employees must obey all State traffic laws and safe driving procedures.

B. Personal Vehicle Used for City Business.

C. Personal vehicles may not be used for City business unless such use is approved in advance by the City Manager. If the use of a personal vehicle has been approved, the employee may be reimbursed for such use at the rate per mile recognized by the Internal Revenue Service, for no more than the actual number of miles driven, plus reasonable parking fees and tolls. This cash reimbursement is the only approved reimbursement method; reimbursement may not be "in-kind" by the provision of fuel, parts, service, or any other thing of value at City expense. No additional reimbursement will be allowed except in writing by the City Manager, and then only when extraordinary and unforeseeable expenses not under the control of the City or the employee are encountered. Prior to operating a personal vehicle in the course of employment, the employee must show proof of liability insurance on that vehicle and possess a valid California driver's license.

D. Employees must view a safe driving training video before driving City or personal vehicles on City business.

E. All drivers will be subject to periodic reviews of their DMV reports. Employees that operate City vehicles or their own vehicles on City business are required to report suspension or revocation of their license to ttheir supervisor and to the Human Resources Department. Failure of an employee to report a change in license status may result in disciplinary action.

F. Employees are not authorized to operate vehicles for which they have not been trained including safety procedures and vehicle maintenance requirements.

G. Employees using a personal vehicle in the performance of City work must provide proof of adequate insurance coverage for collision, personal injury, and property damage to the City. Whether coverage is adequate shall be determined in the sole discretion of the City Manager. Employees who use privately-owned vehicles for City business are responsible for bodily injury and/or property damage to others resulting from such privately-owned vehicle use.

SEC. 20.7 VEHICLE USE REQUIREMENTS

A. All City vehicles (except for one vehicle) are clearly identified as City-owned vehicles and reasonably uniform in color and appearance.

B. City-owned vehicles are restricted to official City use.

C. Drivers are responsible to complete appropriate paperwork prior to operating City vehicles. Thorough completion of vehicle checklists is required, including name, department, City vehicle number, pre/post-driving checklist, odometer reading, and signature. The driver will walk around and inspect the vehicle for damage, inoperable lights, loose hardware, dirty windshields, tire condition and any other condition that may create an unsafe situation. Checklists will be reviewed by the supervisor and kept in the City Office, files.

D. Employees must wear seatbelts at all times when in a City vehicle or in their personal vehicle on City business.

E. No one may operate a City vehicle, or a personal vehicle in the course of their employment, while under the influence of drugs or alcohol, or under any other influence that would render him/her unsafe to operate a motor vehicle.

F. Operating a City vehicle or a personal vehicle in the course of one's City employment—after drinking alcoholic beverages—is never permitted, regardless of how much alcohol is consumed, and what the location/social event is. City employees are required to plan transport home or to the City premises—after drinking alcoholic beverages— including, but not limited to, requesting a friend/co-worker to give a lift, to ride with a driver who hasn't been drinking, catching public transportation, and sharing a taxi/Uber/Lyft with others.

G. City employees are prohibited from using cell phones while driving on City business and/or City time. The only exception to this rule is when the employee uses a hands-free device.

H. As determined by City management, if an employee's duties require that he or she keep a cell phone turned on while driving, the employee must use a hands-free device. Employees are prohibited from reading/sending/composing text messages, emails, or instant messages while operating a vehicle on City business and/or City time.

I. Pursuant to City policy and as required by law, an employee under the age of 18 years is prohibited from driving a motor vehicle while using a cell phone or other mobile service device, even if equipped with a hands-free device. This prohibition does not apply to such a person using a wireless telephone or a mobile service device for emergency purposes. Any violation of this policy is a violation of City rules subject to disciplinary action and may be a violation of law subject to criminal penalties.

J. Vehicles must not be parked in "No Parking" zones except in emergency situations.

K. Employees will be personally responsible for paying any citations and parking tickets received during use of City vehicles.

L. Vehicles must not be left unattended with the key in the ignition. Employees who violate this policy shall be disciplined. Vehicles will be locked when not occupied

M. Vehicles may not be driven out of state unless specifically authorized by the City Manager.

N. Unless expressly authorized otherwise by the City Manager, City vehicles may be used only for City business and must remain on City property at any time they are not being used on City business, except:

Because they are subject to call in serious situations, when transportation and radio communication are critical, the Chief Plant Operator, Chief Wastewater Treatment Plant Operator, Streets & Buildings Superintendent, Parks & Trees Superintendent, Underground Utilities Superintendent, Operations Manager, Assistant Operations Manager, Public Works Director and the Chief of Police are authorized to drive a marked City vehicle between home and work for the convenience of the City. These vehicles may not be used for personal errands but may be used only for official business. Given the design of these City vehicles (e.g., with clear police, fire and public safety officer marks meets the "qualified non-personal use vehicle" requirements under applicable IRS regulations, the use of these City vehicles for commuting will not be reported as fringe benefits. Yet, the value of permitting these employees to use these City vehicles to commute will be included in wages, subject to legally required withholdings.

In order to have tools and materials on-hand and to provide timely transportation to emergency or problem areas, personnel designated as "on-call" may drive a City vehicle between work and home during those times they are "on-call." These vehicles may not be used for personal errands, but may only be used for official business, other than the trips to and from work. If these vehicles do not meet the IRS "qualified non-personal use vehicle" requirement, using these City vehicles to commute shall be a non-cash taxable fringe benefit.

O. Use of City Vehicles during Off-duty time.

1. The City provides certain employees "take home City vehicles" as a mutual benefit, and these employees subject to call out are expected to respond to City needs at all hours of the day and night, weekend and holidays included. The City recognizes employees' needs to address personal matters while commuting to and from the City, and driving a City vehicle is not intended to create further hardship for the affected employee beyond being subject to call out; As a result, de minimis personal use of a City vehicle while commuting to and from work is a reasonable accommodation.

2. Employees may not deviate from a direct path between home and work, or stop en route for personal business, except where such personal business would be considered de minimis in nature and an essential action in the employees' personal life. Driving a City vehicle is not intended to create a hardship for the affected employee.

3. After 5 p.m. Monday through Friday, and at any time on weekends and holidays when any City vehicle is parked other than for City work, or at the employee's home, the employee must notify the Police dispatcher, the location of the vehicle and how long it will be left unattended.

4. Other than for City business, only City employees are allowed to ride in a City vehicle, except carrying a passenger to meet an unusual situation, as permitted by the City Manager. More intensive use, or use outside of permitted exceptions, is prohibited.

5. Use of City vehicles during off-duty time is limited to responding to call outs, commuting to and from work, and transportation to other official City business. City vehicles may not be used for personal trips and errands (except as described in (1) above). During those times that an employee is designated as "on-call" and being compensated with stand-by pay, the employee is expected to be able to get to the vehicle and respond to an emergency within a reasonable time.

Employees must ensure that (1) vehicle doors are locked, (2) lights are off, and (3) windows are closed and (4) the vehicle is free of debris after each use.

Any deficiency encountered must be reported to a supervisor immediately. It is the supervisor's responsibility to ensure that appropriate action is taken to correct the problem. At no time shall an unsafe vehicle be driven.

SEC. 20.8 REQUIRED REPORTING OF ACCIDENTS/VIOLATIONS

In the event of an accident involving a City vehicle, or a personal vehicle being used for City business, the employee operating or having custody of the vehicle shall immediately, or as soon as practical, report the accident to a law enforcement agency of appropriate jurisdiction. In the event the contacted agency declines to investigate, the employee should include in their report the agency contacted and the date and time of contact. The employee shall cooperate fully in any accident investigation and shall, as soon as practicable, furnish to the City Manager, or the Human Resources Department, and to the City's insurance carrier (the Redwood Empire Municipal Insurance Fund, or "REMIF") a written report of the accident.

A City driver must promptly report to their supervisor all accidents, moving violations, or other vehicle citations that occur while the employee is conducting City business. The driver's supervisor must immediately forward the information to the Human Resources Department. Failure to report accidents, convictions, and violations as required may result in the loss of privilege to use City vehicles and disciplinary action.

Mandatory post-accident testing for drugs and alcohol will be conducted in accordance with the City's Drug-Free Workplace policy.

Hit and run and vandalism are criminal incidents and must be reported to the police and the City.

City drivers must immediately report any accident, incident of damage, or personal injury involving City vehicles.

All drivers and employees are expected to properly safeguard the City's vehicles and use them in accordance with City policy. If it is determined that a vehicle is being misused, or is at substantially higher risk of theft or damage due to a lack of reasonable precautions by employees, employees may be required to forfeit use of the City vehicle.

SEC. 20.9 INSPECTION, SERVICE AND MAINTENANCE POLICY

All City vehicles will at all times be kept in good repair, serviced, and clean. Any City vehicles found to be in an unsafe condition should be immediately removed from service until all safety defects have been corrected.

All maintenance and repair work will be done by City personnel at City facilities unless authorized otherwise by a Department Head or the City Manager, except emergency repairs necessitated by extraordinary circumstances.

All fuel purchased will be through retail outlets designated by City Manager and according to established procedures. If fuel must be purchased using an employee's own resources, the driver will be reimbursed on presentation of proof-of-purchase and utilizing an expense reimbursement form.

City vehicles including construction equipment, forklifts, and other equipment are required to be serviced and maintained in accordance with the manufacturer and City guidelines, whichever is stricter. Every vehicle must undergo a monthly inspection by the driver (tires, brakes, lights, turn signals, horn, no cracked/broken glass, current registration, current insurance card, clean appearance).

City guidelines for vehicle service and maintenance include complying with manufacturer's service recommendations, using recommended types of gasoline; maintain proper fluid levels (oil, antifreeze coolant, brake, and transmission, etc.) and ensuring proper tire pressure; working signals, lights (headlamps, turn-signal lights, tail-lights, brake-lights, etc.), brakes, and other vehicle safety items.

Failure to comply with the service, maintenance, and inspection requirements of this program may result in suspension of driving privileges, increased insurance charges, and/or loss of the vehicle.

SEC. 20.10 ELECTRONIC TRACKING TECHNOLOGY

The City, in its sole discretion may install Electronic Tracking Technology on City-owned or leased vehicles to increase efficiencies, save on fuel costs, facilitate City business, and enhance City services.

Electronic Tracking Technology means a technological method or system used to observe, monitor, or collect information, including telematics, Global Positioning System (GPS), wireless technology, or location-based technologies. Electronic Tracking Technology used for public safety greatly enhances job performance, personnel safety, situational awareness, and may provide assistance in time critical scenarios. City employees may, in the course of employment, be required to drive and/or ride in agency-owned or leased vehicles equipped with Electronic Tracking Technology.

Electronic Tracking Technology may include Event Data Recorders (EDR), Sensing and Diagnostic Modules (SDM), or other systems that are used for the purpose of identifying, diagnosing, or monitoring functions related to the potential need to repair, service, or perform maintenance on the City vehicle and/or to capture safety systems-related data for retrieval after a collision or similar incident has occurred. The following information may be generated by the City's Electronic Tracking Technology: (1) Mileage reports; (2) information about where vehicles were located and at what time; (3) the last reported location of vehicles; (4) the path a vehicle traveled during any period of time; (5) the speed the vehicle traveled; and (6) how long a vehicle was idle or stopped for a given period of time. As such, Electronic Tracking Technology allows the City to monitor location, elevation, and velocity of its vehicles, at any time. The City may use Electronic Tracking Technology at its sole discretion, and in the ordinary course of business.

Electronic Tracking Technology in City vehicles may also be used to for other business-related purposes, including, but not limited to, metrics, performance measures, locating stolen vehicles, providing aid to vehicles that break down, increasing employee safety, managing agency resources effectively, or ensuring that routes or assignments are being followed.

Additionally, the City may utilize Electronic Tracking Technology during a disciplinary investigation or discipline of its employees pertaining to the misuse or abuse of their vehicles, inappropriate use of time, speeding, or other misconduct or violation of City directives, documented procedures, or Personnel Rules and Regulations.

Employees are prohibited from tampering with, altering or attempting to alter, disabling, or destroying any Electronic Tracking Technology equipment.

RULE 21. PERSONAL TELEPHONE USE AND TEXT MESSAGING

A. Employees are encouraged to keep all personal phone calls and text messaging to a minimum, regardless of whether the employee is using a City-owned telephone or a personal telephone. Friends and relatives should be discouraged from calling and texting during working hours unless there is an emergency. Personal calls and text messages should be made during break periods or lunch whenever possible. Personal long distance or toll calls from a City owned telephone are to be charged to the employee's own telephone number or long-distance calling cards/apps.

B. Excessive personal phone calls or text messaging, or communications through similar electronic means, may result in disciplinary action, up to and including termination.

RULE 22. EMPLOYEE REIMBURSEMENTS AND TRAVEL

SEC. 22.1 PURPOSE

A. Employees have a right to receive reimbursement for all appropriate business expenses.

B. This Rule is to assure that City employees and officials adhere to procedures when arranging for travel, lodging, meals, and other expenses and that they are paid for reasonable expenses incurred for travel, conferences, meetings, and meals as a result of conducting authorized City business. The Rule assures that payments made by the City are for actual and necessary expenses incurred for City business. It also assures that City employees and officials will receive advances and/or reimbursements in a timely manner.

C. This Rule assumes a mutual trust between the City and its employees and City officials. Employees are expected to use good judgment in the expenditure of public funds with which they have been entrusted. Employees and officials are advised, by virtue of this policy, that not attending any conference or training is unethical and a dereliction of duty.

D. These guidelines are not intended to address every issue, exception, or contingency that may arise in the course of City travel. Accordingly, the basic standard that should always prevail is to exercise good judgment in the use and stewardship of the City's resources.

SEC. 22.2 APPLICABILITY

A. As used in this Rule, "employee" shall refer to all City employees, officials, and City Council members.

B. As used in this Rule, "conference" shall refer to an official function of a professional or governmental organization or agency normally requiring attendance for more than one (1) day.

C. As used in this Rule, "meeting" shall refer to a meeting with one or more persons for the conduct of City business or an official meeting of a professional or governmental organization or agency not requiring overnight accommodations or meals other than those related to the meeting.

D. As used in this Rule, "local area travel" shall refer to travel within an area generally within 300 miles of, or five hours of travel time from, St. Helena.

SEC. 22.3 AUTHORIZED TRAVEL EXPENSES

A. Except as otherwise provided, all employees must seek prior authorization, pursuant to the reimbursement procedures set forth below, for reimbursement pursuant to this Section.

B. Employee travel may be authorized for local and non-local travel activities, undertaken for the purpose of conducting City business, such as professional meetings, conferences and training sessions. Payments for travel and meeting expenses may be in the form of either advances or reimbursement, including appropriate registration fees, food, lodging, transportation costs, and reasonable incidental expenses as described in this Rule.

C. Travel at City expense will be undertaken only upon approval of the City Council, City Manager, or Department Head and in accordance with guidelines outlined herein. Any deviation from the specific provisions may be granted only by the City Council:

1. Conference: Attendance at conferences shall be subject to the following:

   (a) Funds must be available in the proper department budget category to cover the anticipated costs of the conference.

   (b) Out-of-state travel requires City Council approval, except for those out-of-state destinations that are within fifty (50) miles from the California border (e.g., Reno, Nevada).

   (c) Following return from a conference, the employee may be required to submit to the City Manager a brief report containing an overview of the conference and assessment of the value of the attendance at the conference.

2. Meetings: Attendance at meetings shall be subject to the following:

   (a) Sufficient funds are available in the appropriate budget for the meeting expenses.

   (b) The employee is required to obtain approval of the Department Head or the employee's immediate supervisor.

   (c) Attendance of a Department at any meeting requiring absence from the City for all or most of a work day shall be subject to prior notification to the City Manager.

3. Lobbying:

   (a) Sufficient funds are available in the appropriate budget. (2) City Council approval is required prior to the trip. Agenda items to identity Council adopted policy decision or strategy, identification of the City delegation, the officials or agencies to be contacted, and the estimated costs of the trip are required. Expenses eligible for reimbursement under this Section generally include: (a) communicating, including lobbying, with representatives of regional, state, and national government on City adopted policy positions; (b) attending educational seminars designed to improve employees' or officials' skills and informational levels; (c) participating in regional, state, and national organizations whose activities affect the City's interests; (d) recognizing service to the City; (e) attending City events; (f) implementing a St. Helena City Council-approved strategy for attracting or retaining business to St. Helena, which will typically involve at least one staff member.

Expenses ineligible for reimbursement under this Section shall include, but are not limited to, such expenses related to the following activities:

(a) The personal portion of any trip;

(b) Political or charitable contributions or events;

(c) Family expenses, including partner's expenses when accompanying official on agency-related business, as well as children or pet-related expenses;

(d) Entertainment expenses, including theater, movies (either in-room or at the theater), sporting events (including gym, massage and/or golf related expenses), alcoholic beverages, tours, personal amusements, or other cultural events;

(e) Non-mileage personal automobile expenses, including repairs, traffic citations, insurance, or gasoline; and

(f) Personal losses incurred while on City business.

The City will not be responsible for, nor reimburse for, citations and parking tickets.

All reimbursements made pursuant to this Section must be approved by the employee's Department Head., . Reimbursements made to any supervisor must be approved by the Department Head; any reimbursements made to any Department Head, members of the City Council, Boards, or Commissions must be approved by the City Manager, and any reimbursements made to the City Manager must be approved by the Finance Director. An individual may not authorize or approve reimbursement for their own travel. Reimbursements pursuant to this Section shall be subject to appropriation of funds in the annual budget and any supplemental policies adopted by ordinance or resolution.

Each Department Head shall be held responsible for the administration of this Rule within their department. Administration shall be consistent with the adopted budget as set out in the budget detail document.

Employees should schedule travel so that the employee leaves at a reasonable hour and arrives at the destination on time. Employees should also return promptly when employee business is finished, thereby minimizing the time away from work and ensuring full reimbursement of all related expenses.

SEC. 22.4 STANDARD REIMBURSEMENT PROCEDURE

Upon completion of any travel for which reimbursement is sought, the following items shall be promptly submitted to the employee's supervisor:

1. A completed Expense Reports, which documents expenses meet the requirements of the City policy.

For example, if the meeting is with a legislator, the local agency official should explain whose meals were purchased, what issues were discussed, and how those were related to the City adopted legislative positions and priorities.

Expense Reports are to be submitted within thirty (30) days of an expense being incurred, accompanied by itemized receipts documenting each expense. Restaurant receipts, in addition to any credit card receipts, are also part of the necessary documentation.

2. All receipts for expenses incurred while traveling. Itemized receipts are required for expenditures for airline tickets, hotel rooms, conference/meeting registration fees, parking, and all other expenses for which receipts normally are obtainable; unless those expenses have been prepaid in full through the City. Inability to provide such documentation in a timely fashion may result in the expense being borne by the employee/official.

In general, a receipt is required for all reimbursable expenditures, except mileage reimbursements or other expenses for which receipts are not available (i.e.: incidental parking meter expenses); receipts for tolls under $5 are not required but an account of expenses must be made on the expense reimbursement form including toll location; receipts are not required for per diem payment for meals unless the employee/official requests payment in excess of the per diem amounts specified, in which case the employee/official is required to receive prior written approval from the City Manager; and

3. Any other supporting document, such as conference program materials.

City officials should keep in mind that some expenditure may be subject to reporting under the Political Reform Act and other laws. All agency expenditures are public records subject to disclosure under the Public Records Act.

Employees may choose to make a copy for their own records.

All expenses are subject to verification of compliance with the City's reimbursement policy.

Employee travel expenses will be reviewed by their supervisor, Department Head, or City Manager and, if approved, forwarded to the Finance Department for reconciliation and payment processing. If employees are to receive reimbursement, the Finance Department will process a check on the next regular accounts payable run.

Employees are responsible for preparing and filing employee travel request; travel advances requests, reimbursements, and travel expense reports pursuant to City policy. Expenditures in excess of any amounts authorized by the City's policy shall be at the risk of the employee/official with respect to reimbursement. An employee's request for

reimbursement may be rejected if it was inconsistent with City policy or did not serve a City business purpose.

Should any request for reimbursement be rejected, any such request and supporting documentation will be returned to the employee for correction of any errors or omissions.

SEC. 22.5 REIMBURSABLE EXPENSES

Except as otherwise provided, expenses associated with the following items may be approved for reimbursement pursuant to this Section.

A. Transportation.

Transportation costs include, but are not limited to, airplane, train, bus and taxi fares, bridge tolls, parking, car rental, and fuel charges associated with a car rental. An employee should generally take the most direct and commonly traveled routes.

The guiding principle should be the most cost effective and efficient use of public resources.

B. Air Travel.

The employee should take advantage of lower airfare rates by booking their flight as early as possible, and purchasing non-refundable, coach class tickets. An employee may sometimes avoid higher airfare by staying over a Saturday night. In some instances, an extra night in a hotel/motel can be much less than the added cost of the airfare. Selection of carrier, reservations, and ticketing should be arranged as early as feasible to obtain the greatest discount. Also consider the use of alternative transportation methods, such as using a nearby airport and ground transportation if the total fares are lower.

Travel outside of the local area shall normally be by common carrier air transportation. No employee may act as Pilot in Command of a private aircraft on City travel.

Incidental transportation expenses for airport limousine, bus, or taxi service will be reimbursed if incurred as a necessary part of officially approved travel. Other travel expenses, including car rental, will be limited to circumstances where less expensive intra-city travel service is not available or practical.

C. Airport Parking.

Long-term parking should be used for travel exceeding twenty-four (24) hours.

D. Private Vehicles.

Use of any private vehicle must be approved by the employee's supervisor, or the City Manager, in advance. If the use of a personal vehicle has been approved, the employee

may be reimbursed for such use at the rate per mile recognized by the Internal Revenue Service, as reimbursement for all costs incurred while operating such vehicle such as gasoline, wear and tear on the car, insurance coverage, and other incidental items. The City will additionally reimburse reasonable parking fees and tolls. The cash reimbursement is the only approved reimbursement method; reimbursement may not be "in-kind" by the provision of fuel, parts, service, or any other thing of value at City expense. No additional reimbursement will be allowed except in writing by the City Manager, and then only when extraordinary and unforeseeable expenses not under the control of the City or the employee are encountered.

Prior to operating a personal vehicle in the course of employment, the employee must show proof of liability insurance on that vehicle and possess a valid California driver's license.

If an employee elects to travel by personal car where adequate public air service is available, the maximum allowable mileage will be the coach air fare rate or mileage, whichever is less.

Employees are expected to obey and comply with all laws and regulations, including speed limits and other traffic regulations.

FLSA-exempt, unrepresented employees who receive auto allowance are not reimbursed for travel within the County of Napa. If travel is required by the employee in their personal vehicle beyond the County line, mileage shall be reimbursed at the same rate as set by the IRS.

E. City vehicles.

City vehicles may be used if available, subject to any limitations regarding their use. Employees must comply with the City's Vehicle use Policy.

City vehicles shall be used for local area travel in connection with official City business whenever practical. Any necessary out of pocket expenses incurred with the operation of a City vehicle shall be reimbursed.

Reasonable and necessary expenditures will be allowed for parking and toll charges incurred in connection with official travel.

Employees are expected to obey and comply with all laws and regulations, including speed limits and other traffic regulations.

F. Rental vehicles.

Rental vehicles may be authorized when employees are on City business and other modes of transportation are not available, too costly, or impractical.

G. Public Transit and Carpooling.

Employees are encouraged to make optimum use of available public transit services and carpooling.

H. Lodging and Incidental Expenses.

1. Lodging costs will be reimbursed or paid for when travel on official City business reasonably requires an overnight stay. If such lodging is in connection with a conference, lodging costs should not exceed the group rate published by the conference sponsor for the meeting in question. For overnight stays in other contexts, a helpful source of guidance is the Internal Revenue Service per diem rates for lodging, which include adjustments for higher cost locations. (*https://www.gsa.gov/travel/plan-book/per-diem-rates*.)

2. Additionally, all properties approved by the Federal Emergency Management Agency (FEMA) as being fire safe and in compliance with the Hotel Motel Fire Safety Act of 1990 can be located using: https://apps.usfa.fema.gov/hotel/.

3. A factor in considering hotels in metropolitan areas is their proximity to the offices where business will be conducted: the cost of transportation away from the business center can exceed the higher cost of the closer hotel. The guiding principle should be the most cost effective and efficient use of public resources in selecting lodging with a degree of sophistication while serving the business needs of the trip. In the event that arrangements have been made for the City to be billed directly for hotel or motel rooms, incidental charges should be paid for by the employee at the time of checkout and appropriate reimbursement requests be made by the employee upon return from travel.

I. Reasonable incidental expenses, such as tips, cab fare, parking fees, and internet charges, when required in connection with official City business, will be reimbursed on the basis of actual expenditures.

J. Meals.

Payment for meals while on City business shall be $50.00 per diem for each full day. On travel days, when the employee is not out of the City for the full day, the following schedule is applicable: breakfast ($10.00); lunch ($15.00); dinner ($25.00).

Meal expense in excess of the per diem may be approved by the City Manager where metropolitan costs are considerably higher. Per Diem rates for higher cost metropolitan areas will not exceed IRS per diem rates found at *https://www.gsa.gov/travel/plan-book/per-diem-rates*. In the event a meal cost is higher than IRS per diem rates, written authorization can only be made by the City Manager and the employee is to provide itemized receipts for all meals.

Meal expenses and associated gratuities should be moderate, taking into account community standards and the prevailing restaurant costs of the area.

Meal charges in excess of the specified listed amounts are allowed for special luncheons, banquets, and other meals if part of a previously approved conference or meeting program. When such luncheons, meals and other meals are included in the registration fee or otherwise paid by the City, the per diem will be reduced accordingly.

The City will customarily not pay for alcohol/personal bar expenses. In recognition of St. Helena community standards that meals associated with lobbying events typically include consumption of donated wine this policy recognizes corkage costs are an appropriate expense. Any other alcohol expenses require the prior written authorization of the City Manager.

K. Excluded Expenses.

Expenses associated with the following items are not considered necessary expenditures or losses incurred by an employee in direct consequence of the discharge of their duties, and no reimbursement shall be provided pursuant to this section.

Personal expenses such as laundry, barbering, valet service, in-room movies, gratuities for porters, personal telephone calls, and/or alcoholic beverages.

Additional expenses associated with the participation of an employee's non-employee spouse or guest, including any increased room rate due to double occupancy.

Travel on behalf of another public agency, unless reimbursement is otherwise authorized by the City Council.

L. Audits of Expenses Reports

All expenses are subject to verification of compliance with this policy.

RULE 23. CASH ADVANCES AND CREDIT CARD USE

SEC. 23.1 CASH ADVANCES.

A. From time to time, it may be necessary for an employee or official to request a cash advance to cover anticipated expenses while traveling or doing business on the City's behalf. Such requests for an advance should be submitted to the Finance Director ten (10) days prior to the need for the advance with the following information: (a) the purpose of the expenditure(s); (b) the anticipated amount of the expenditure(s) (for example, hotel rates, meal per diem, and transportation expenses); and (c) the dates of the expenditure(s).

B. Any unused advance must be returned to the Finance Department within two (2) business days of the employee's or official's return, along with an expense report and receipts documenting how the advance was used in compliance with this expense policy.

C. In the event that the Finance Director is uncertain as to whether a request complies with this policy, such individual must seek resolution from the City Manager and/or City Council.

D. Cash advances not exceeding $25.00 for official City business expenses may be made from petty cash, with Department Head approval. All advances exceeding $25.00 shall be approved by the Finance Director.

SEC. 23.2 CREDIT CARD USE.

A. City Procurement Cards: City Council Policy P-F1-0012

1. City Council Policy P-F1-0012, Issuance and Use of City Procurement Cards ("Procurement Card Policy"), was approved by the City Council on February 13, 2018. The purpose of the Procurement Card Policy is to establish a framework for appropriate use of the City's Procurement Cards. A Procurement Card is a City-issued credit card from a financial institution, and the Procurement Card shall be used as an option for small purchases unless the items are available in current City inventory or through established contracts. The Procurement Card Policy applies to all employees who are issued a City Procurement Card and all departments who authorize employees to use City Procurement Cards.

2. In general, the City Procurement Card is to be used for official City business and may not be used for personal purchases under any circumstances. Failure to follow the Procurement Card Policy, including any outlined procedures for Procurement Card purchases, may lead to the suspension or termination of a procurement card and disciplinary action. Reimbursement to the City by the employee for the unauthorized charges is mandatory.

3. The Finance Director acts as the Citywide Procurement Card Administrator and serves as the primary contact for the financial institution issuing procurement cards and administers the City-wide program.

4. The Procurement Card will only be issued to Cardholders who certify they have read, understand, and will comply with the Procurement Card Policy. Employees issued a Procurement Card are responsible for any and all use of the Procurement Card.

5. Use of a City Procurement Card is a privilege and the City Manager or Director of Finance may suspend or revoke cards at any time in accordance with their assessment of the City's best interests such, as but not limited to, lack of timely review and approval of Procurement Card invoices and violations of the City Procurement Card Policy.

6. The City Procurement Card may be issued in a designated individual name and/or the name of the City. For further details regarding the use of the City Procurement Cards, please refer to the Procurement Card Policy.

B. City Fuel Cards: City Council Policy P-F1-0013

1. City Council Policy P-F1-0013, Issuance and Use of City Fuel Cards ("Fuel Card Policy"), was approved by the City Council on March 13, 2018. The purpose of the Fuel Card Policy is to establish uniform procedures, accountability and controls for fueling motor vehicles and equipment owned by the City. A Fuel Card is a City-issued credit card from a financial institution, The Fuel Card shall only be used on City vehicles and/or City equipment and is not authorized for use on any other vehicle or equipment. The Fuel Card Policy applies to all employees who are issued a City Fuel Card.

2. The City Fuel Card is to be used for City official use only and may be used at Wright Express (WEX) participating locations. There will be a vehicle number on each Fuel Card, and a dedicated card will be issued to each City vehicle. Each driver will have their own Personal Identification Number (PIN).

3. Various employees are authorized to receive a City issued Fuel Card PIN for City-related purchases. All employees operating City vehicles on a regular basis will receive a WEX PIN. Prior to receipt of the WEX PIN, the employee will receive the associated City Fuel Card Policy and sign an agreement for use of the Fuel Card and PIN. A copy of the agreement will be placed in the employee's personnel file.

4. Any misuse of the City issued Fuel card will result in reasonable disciplinary action that may include a combination of the following: (A) suspension of Fuel Card access, and (B) termination of Fuel Card.

5. For further details regarding the use of the City Procurement Cards, please refer to the Fuel Card Policy.

SEC. 23.3 VIOLATION OF THE POLICY

Use of public resources of falsifying expenses reports in violation of this policy may result in any or all the following:

1. Loss of reimbursement privileges;
2. A demand for restitution to the City;
3. Prosecution for misuse of public resources;
4. The agency's reporting the expenses as income to the elected official to state and federal tax authorities.

RULE 24. WHISTLE BLOWING POLICY

SEC. 24.1 DEFINITION OF "WHISTLE BLOWING"

For purposes of this provision, "whistle blowing" consists of disclosure of information that the employee reasonably believes constitutes a violation of state or federal statute, or a violation of or noncompliance with a local, state, or federal rule or regulation, regardless of whether disclosing the information is part of the employee's job duties, when that disclosure is made to one or more of the following:

1. A government or law enforcement agency;
2. A person with authority over the employee;
3. Another employee who has authority to investigate, discover, or correct the violation or noncompliance; or
4. Any public body conducting an investigation, hearing, or inquiry, including, but not limited to, information given as testimony.

SEC. 24.2 SCOPE OF POLICY

The City encourages employee complaints, reports or inquiries about practices believed to be unlawful or constitute serious violation of the City policies, including illegal or improper conduct by the City itself, by its leadership, or by others on its behalf. Other subjects for which the City has existing complaint procedures shall be addressed under those other procedures. This Policy is not intended to provide a means of appeal from outcomes in those other procedures.

SEC. 24.3 PROCEDURE

Complaints, reports or inquiries may be made under this policy on a confidential or anonymous basis. They should describe in detail the specific facts demonstrating the

bases for the complaints, reports or inquiries. They may be directed to the Human Resources Director or City Manager, or to the City Attorney if involving the Human Resources Director or City Manager. The City will conduct a prompt, discreet, and objective review or investigation in response. However, Employees must recognize that the City may be unable to fully evaluate or address a report or inquiry that is made anonymously or made in a vague or general manner.

SEC. 24.4 PROTECTION FROM RETALIATION BECAUSE OF GOOD FAITH COMPLAINTS, REPORTS, OR INQUIRIES

A. The City prohibits retaliation by or on behalf of the City against employees for making good faith complaints, reports or inquiries under this policy or by participating in a review or investigation under this policy. Any employee who makes a complaint using this procedure or otherwise engages in "whistleblowing" is protected against adverse employment actions (discharge, demotion, suspension, harassment, or other forms of discrimination) taken by the City or any person acting on behalf of the City. This protection extends to those whose allegations are made in good faith but prove to be mistaken or unsubstantiated. Employees who participate or assist in an investigation will also be protected. Every reasonable effort will be made to protect the anonymity of the "whistleblowing" employee; however, there may be situations where it cannot be guaranteed.

B. The City reserves the right to discipline persons who make bad faith, knowingly false, or vexatious complaints, reports or inquiries or who otherwise abuse this policy.

RULE 25. SOCIAL MEDIA POLICY SEC.

SEC. 25.1 PURPOSE

The City recognizes that social media plays an increasingly important role in society and communication. This policy is to establish guidelines on the use of social media sites by the City as an additional means of conveying City-related information to the public and maximizing the promotion of City-managed programs and services. This policy is also designed to establish lawful and proper parameters for employees' personal use of social media while being employed with the City.

While social media presents many benefits, such as community engagement through an interactive platform, it also presents certain risks of liability to the City. This policy is intended to mitigate associated risks from use of social media technology where possible. This policy is in addition to and complements the City's policies regarding the use of technology, computers, social media, e-mail and the internet.

The City has an overriding interest and expectation in protecting the integrity of information posted on its social media pages and deciding what is "spoken" on behalf

of the City. This policy applies wholly to the City and all City employees and all participation on social media must be in accordance with the provisions set forth herein.

SEC. 25.2 DEFINITIONS

A. "Social media sites" refers to interactive platforms and technologies which allow entities or individuals to post or publish content through and on the internet. Social media uses many technologies and platforms, including social networking, blogs, wikis, photo and video sharing, and more.

B. "City social media page" means a page on a social media site which the City establishes and maintains, and over which it has control over all postings, except for advertisements or hyperlinks by the social media site's owners, vendors or partners. No social media platforms are to be utilized without express authorization from the City Manager.

C. "City social media team" refers to those City employees specifically authorized by the City to create content or to post or comment on a City social media page on behalf of the City. The City social media team is comprised of the City Manager's Office, Community Services and Information Technology Office and other individuals designated by the City Manager or Department Head. Only members of the City social media team may post or comment on behalf of the City.

D. "Employee" means any person employed by the City including full-time, part-time, temporary, seasonal, and probationary employees. For purposes of this policy, "employee" does not include any volunteers or appointed or elected official of the City.

E. "Post" or "Comment" means information, articles, pictures, videos, hyperlinks or any other form of content or communication posted on any City social media page.

SEC. 25.3 GENERAL POLICY

This policy applies to all authorized employees who utilize social media websites on behalf of the City for the following purposes:

A. To establish guidelines for posting of information on social media websites.

B. To establish guidelines for user policies of social media websites.

C. To provide a uniform policy that will be implemented by all departments which utilize social media as an informational tool.

All City employees shall comply with this policy in all respects. This policy is subject to revision at any time. In the event of a revision to this policy, the City will attempt to

provide prior notice of any such change. However, this policy may be changed without prior notice when deemed necessary to fully protect the City's interests and/or the public's interests. If it is necessary to change this policy without providing prior notice to employees, the City shall notify the employees of the change at the earliest possible time.

All City employees shall sign an acknowledgement of receipt of this policy indicating that he or she has read and understands all of its provisions and agrees to be bound by the same. Before posting anything on social media website, the employee must check the most current policy to ensure compliance.

SEC. 25.4 GUIDELINES AND PROCEDURES

A. Ownership and Adherence to Other City Policies

1. Social media website communications composed, sent, or received on City equipment are not privacy-protected, are subject to search and review (and appropriate action) by the City, and may be subject to public disclosure.

2. The use of City computers, City-issued smartphones, City-issued tablets, or any other City-issued electronic device to post information on a social media website is subject to all applicable policies of the City.

3. Content posted on a City social media page may be subject to the California Public Records Act. Any content maintained in a social media format that is related to City business, posted communication, communication submitted for posting, and removed content, may be a public record subject to public disclosure.

B. Creation of City Social Media Pages

1. The City Manager's Office may establish official City social media pages. The City Manager's Office will maintain a written list of all approved City social media pages and websites.

2. The City's official website is the City's primary source and means of internet communication. To the extent possible, a link to the City's official website should be included on any City social media page. Wherever possible, City social media pages should link back to the official City website for forms, documents, online services and other information necessary to conduct business with the City. Information posted by the City on social media pages will supplement and not replace required notices and standard methods of communication.

3. Each established department within the City may create departmental City social media pages and/or City social media pages for a specific City-related purpose or City event with approval of the City Manager.

   (a) Creation of any such City social media pages must be proposed, in writing, by the Department Head to the City Manager. The City Manager may, in their sole discretion, approve, deny, or modify the creation of such social media websites. A department may not create a City social media website without the prior written authorization of the City Manager. Consideration shall be given to the overall nature and theme of the website, and its suitability for use for City purposes.

   (b) Each department is responsible for the creation, administration, and deactivation of their City social media website account or page. Any user identifications, logins, and passwords must be shared with the City Manager's office.

   (c) Any City social media website that is created for a specific purpose or event should be deleted or taken down once it is no longer necessary and/or timely, and the department must provide written confirmation of same to City Manager's office.

   (d) The City Manager's Office shall have ultimate authority over all City participation on social media websites and may order the removal of all or part of a department's social media page if the City Manager, in their sole discretion, determines that the content or social media website is not in the best interests of the City.

4. For the purpose of this policy, all City social media pages must have been approved and created in accordance with this policy.

C. Administration and Maintenance of Authorized City Social Media Pages

1. Only City social media team members are permitted to maintain, administer, and/or post on an authorized City social media page on behalf of the City.

   (a) In approving an authorized City social media page, the City Manager, or their designee, shall designate at least one authorized employee as being responsible for the regular monitoring and maintenance of that particular City social media page.

   (b) The City social media team shall only address issues within the scope of their specific authorization.

(c) The City social media team must conduct themselves at all times as a representative of the City and in accordance with all City policies.

2. Social medial websites often have their own polices, terms of use, conditions of use, and/or legal restrictions. These terms could have significant legal and financial implications for the City. Therefore, prior to signing and/or agreeing to adhere to any polices, terms of use, conditions of use, and/or legal restrictions for a social media website, the City social media team member must obtain the City Manager's written approval. In addition, prior to posting any content on an authorized City social medial website, City social media team members must review, become familiar with, and comply with the website's policies and terms and conditions.

3. Any and all information posted by City social media team members on City social media pages created on behalf of the City must:

   (a) Directly pertain to the City;

   (b) Contain factual information that is freely available to the public and that is not made confidential by any policy of the City, or by local, state, or federal law; and

   (c) Present the City in a positive light.

4. City social media team members are prohibited from posting the following content on any authorized City social media page or website:

   (a) A photograph, video, or image of any person who can be readily identified by the naked eye in the photograph, video, or image without first obtaining the depicted person's (or their legal representative's) consent.

   (b) Many social media sites allow the City to "like" or "follow" other site users or to share content posted by other site users. Express permission to like or follow any entity, organization, or individual must be obtained from the City Manager or their designee. Sharing or re-posting content is permissible if relevant to City business, programs, services, or events and the City has full permission or rights to do so, unless it includes content that is prohibited in this policy.

   (c) Language that is sexually explicit, or that is lewd or obscene, racial, promotes religious beliefs, political, or illegal, or that expresses a personal opinion.

(d) Actual or perceived threats to public health, safety or property unless the authorized employee has authorization from the City Manager to post such content.

(e) Actual or potential legal claims, lawsuits or other legal issues, unless approved in advance in writing by the City Manager.

(f) Personnel or medical matters.

(g) Testing materials or matters related to the evaluation of employment applicants (this does not prohibit the City from advertising vacancies on a social media website);

(h) Budget planning and priorities, unless approved in advance in writing by the City Manager.

(i) Criminal investigations and content regarding crime scenes.

(j) Solicitation, engaging in or endorsing any commercial, products or activities. This provision is intended not to limit the City's ability to support business in St. Helena generally, but to refrain from supporting a particular commercial enterprise.

(k) Comments in support of or in opposition to elected and appointed City officials, political candidates, political campaigns, ballot measures, and matters that may reasonably be agenized for consideration by the City Council and/or any City commission, agency, or board.

(l) Comments regarding the position of any City Council member or member of any City commission, agency, or board regarding a City-related issue or comments regarding, or speculating about, a potential decision by the City Council or any City commission, agency, or board.

5. Following City Manager approval of an authorized City social media website, City social media team members must adhere to the following rules:

(a) City social media pages should make clear that they are maintained by the City and state that they follow the City's use of social media policy and the host site's terms of use. City social media pages are considered City property and are not for personal use or benefit.

(b) City social media sites shall bear the name of the City. If feasible, City social media sites shall also bear the City's official logo

or informal logo as designated by the City's graphics standards. If a department wishes to use any other image as the profile picture or background image, the department must obtain the City Manager's prior written approval.

(c) Wherever applicable, City social media sites shall be classified and registered with the service provider as "Official" and/or Government Entity sites. The social media team shall take advantage of all options provided by the service provider for Government Entity sites that provide additional protections for the City.

(d) Authorized City social media pages or websites shall utilize account names or usernames that are clearly identifiable as City social media pages.

(e) City account profiles must contain a valid City email address.

(f) If possible, City social media team members shall disable any feature of an authorized City social media page or website that allows members of the public to post content or comment on City postings to the authorized City social media page or website. The City Manager may grant an exception to this upon the request of the Department Head.

(g) City social media team members may not use or include personal email addresses or any other personal information in the user profiles and/or posted content for authorized City social media pages or websites. Instead, City social media team members may use their name, title, and a City email address.

(h) City social media team members shall enable, set, or configure all accessibility features available on authorized City social media pages or websites to ensure that the content of such websites is accessible to as many people as possible.

(i) If an approved social network website requires account administrative approval to join, everyone who requests access must obtain the City Manager's prior written approval. The City Manager may delegate this approval authority to a Department Head or other designee.

(j) In order to maintain the security of the City's internal IT network, City social media team members shall use different passwords for authorized City social media pages or websites than are used for logging into the City's internal network.

(k) City social media team members shall follow the City's IT department password guidelines when selecting passwords for City social media pages or websites.

(l) City social media team members may not share an authorized City social media page or website account password with anyone who is not an authorized employee as to that particular authorized City social media page or website.

6. City social media team members may only work on authorized City social media pages or websites during City business hours and on City-owned computers, unless (a) otherwise directed and authorized by the City Manager or their designee or (b) after-hours and/or off-site work is necessary to avoid and/or remedy a violation of this policy and that, in the City social media team member's best judgment, waiting for approval by the City Manager or their designee would cause harm to the City's interest and/or the public's interests. In the event that a City social media team member performs after-hours and/or off-site work on an authorized City social media page or website, the City social media team member must report such work in writing to their department head and the City Manager at the earliest possible time following such work.

7. Except as expressly provided in this policy, employees accessing any authorized City social media page or website shall comply with all applicable policies of the City.

D. Comments and Posts by the Public

1. While the City's primary goal is to disable posts and comments by non-City social media team members, it is not always possible on some social media pages or websites to disable the feature that allows or permits comments or responsive posts by members of the public. In such an event, the following regulations apply:

(a) The City social media team member for each authorized City social media page or website that allows public posts must create and provide a "terms of use" that is readily accessible and applicable to anyone wishing to post a response. Any such "terms of use" policy must be approved in advance in writing by the City Manager and City Attorney or their respective designees.

(b) To the extent that members of the public are permitted to post content on an authorized City social media page or website, City social media team members may, but are not required to, respond to a post by a member of the public. By permitting use of this feature, the City does not intend to create, nor has it

established, a general public forum, and all comments and posts must comply with this policy.

(c) Authorized City social media pages or websites must provide a mechanism for City social media team members to remove posts or prevent posting of messages that clearly violate this response policy. If no such mechanism exists, then the authorized City social media page or website may only be utilized if the website provides the capability of disabling posts from other parties.

(d) City social media team members must review the webpage and all associated content not less than once each work day. If the assigned City social media team member will be absent for more than one work day for any reason, the Department Head or their designee is responsible for performing the review.

2. Every social media website that allows comments or posts from the public must include the following disclaimer:

Comments posted on this page will be monitored and inappropriate content will be removed as soon as possible. Moreover, the City does not intend to create, nor has it created, a general public forum, and all comments and posts must comply with the City of St Helena Social Media Policy. Pursuant to the City's policy, the City reserves the right to remove inappropriate content, including, but not limited to:

(a) Profane, obscene, violent, or pornographic language or content;

(b) Content that promotes, fosters, or perpetuates discrimination or harassment on the basis of race, color, national origin, religious creed, ancestry, physical or mental disability, medical condition, pregnancy, childbirth or related medical condition, age, sexual orientation, sex, gender identity, gender expression, genetic information, military or veteran status, marital status, or any other basis protected by state or federal law.

(c) Sexual content or links to sexual content;

(d) Solicitation of commerce and other pure commercial speech, including, but not limited to any advertising or business services or products for sale;

(e) Threats to any person or organization or conduct or encouragement of illegal activity;

(f) Comments not topically related to City posts, business information, announcements, events, or comments not related to the original topic or post, including random or unintelligible postings or comments;

(g) Comments in support of or in opposition to political campaigns or ballot measures;

(h) Information that may compromise the safety or security of the public or public systems or City employees or the City's technology resources;

(i) Content that violates a legal ownership interest of any other party, including, but not limited to copyrights or trademarks;

(j) Content containing personal or sensitive information, including, but not limited to home addresses, phone numbers, social security numbers, dates of birth, or driver's license numbers; and

3. Content that violates any federal, state, or local laws.

The above list is not exhaustive, and the City reserves the right to restrict or remove any content that is deemed in violation of this policy or any applicable law. Notwithstanding the foregoing, the City of St. Helena is not obligated to take such actions and disclaims any and all responsibility and liability for any materials posted by a member of the public.

Please be aware that, under certain circumstances, content appearing on this page may be subject to California's public records laws and subject to disclosure by the agency if requested. This may include information about you that you make available through your privacy settings on this site on your own pages.

A comment posted by a member of the public on any City of St. Helena social media site is the opinion of the commentator or poster only, and the publication of a comment does not imply endorsement of, or agreement by, the City of St. Helena, nor do such comments necessarily reflect the opinions or policies of the City of St. Helena.

By posting a comment, users agree to indemnify the City of St. Helena its officers and employees from and against all liabilities, judgments, damages, and costs (including attorney's fees) incurred by any of them which arise out of or are related to content posted by users. If a user does not agree to these terms, the individual should not use the City of St. Helena's social media pages or websites as a violation of these terms may lead to legal liability.

4. If it is not possible to provide the preceding disclaimer on a City social media page or website, this fact must be brought to the City

Manager's attention prior to establishing a City social media page or website. In that situation, special approval from the City Manager will be necessary in order to proceed with that particular City social media page or website.

5. The inclusion of links in any post must comply with the City's official website external link policy, unless authorized by the Department head or City Manager.

E. Policy for Personal Use of Social Media

1. While employees may voluntarily choose to engage with the City on its social media pages, the City does not encourage or require any employee to follow or "like" City social media sites.

2. The City does not condone the personal use by City employees of social media sites, including personal or non-City social media pages or sites, during the workday or during working time by any means, including by using City-owned equipment. City employees have no right or expectation of privacy when using City-issued devices or systems. The City reserves the right to monitor, search, or disclose employee use of City resources.

3. Employees are reminded and cautioned that nothing posted on the internet is private. Content can easily be shared, forwarded, and distributed to broader audiences without your knowledge or permission.

4. Information posted on any social media site may be used as evidence in disciplinary, administrative, or legal proceedings.

5. The personal use of social media by a City employee in a manner that violates any City policy or procedure will not be tolerated, and may be grounds for disciplinary action, up to and including termination. Employees are expected to comply with the same ethical and performance standards online as in the workplace.

6. Employees may not use their official City email addresses to create or maintain any personal social media page(s).

7. An employee's use of social media in a manner that violates the City's policies and procedures, including, but not limited to, the City's workplace harassment, discrimination, and retaliation policies, will not be tolerated, and may be grounds for disciplinary action, up to and including termination.

8. Employees may not post any content on the internet or social media that constitutes or contains City confidential, proprietary, privileged, private, personnel, or other non-public information.

9. City employees are prohibited from using the City logo or informal logo, representing the City, or representing that they speak on behalf of the City. Employees must also make clear in any online activity that the views and opinions they express about work-related matters are their own, have not been reviewed by the City, and do not necessarily represent the views and opinions of the City.

10. This policy is not intended to prohibit conduct permitted by any state or federal law.

F. California Public Records Act

1. All content posted on a social media website may be subject to the California Public Records Act, California's civil discovery statutes, and other applicable laws requiring the disclosure of public records. All content must be managed, stored, and retrieved to comply with these laws, including any photographs or images. In addition, all content subject to the City's records retention policy must be maintained consistent with that policy. Any content on authorized social media websites shall be maintained in a format that preserves the integrity of the original record and must be easily accessible using the approved City platform and tools. Any content submitted for posting that is deemed unsuitable because it is not topically related or is inappropriate under this policy must also be retained pursuant to the applicable record retention schedule. In addition, City staff must adhere to the following rules:

(a) The City Manager's office will maintain a list of all authorized City social media pages or websites and all account information for such websites, including login passwords, to allow for the immediate alteration or removal of content that is inappropriate or inconsistent with City policy. All such information must be shared with the City Manager's office and updated when changed.

(b) City social media team members shall maintain a record of City social media page or website account information, including username, registered email address, date established, and authorizing representative and the site's terms of use.

(c) All documents shall be easily accessible, including photographs or images if the website is subject to a California Public Records Act request or similar request for disclosure.

(d) City staff shall direct any public records requests to the City Clerk's Office.

G. Failure to Adhere to Policy

An employee's failure to adhere to the provisions of this policy may result in disciplinary action being taken against the employee, up to and including termination.

RULE 26. INJURY AND ILLNESS PREVENTION PROGRAM

SEC. 26.1 OVERVIEW

The Injury and Illness Prevention Program (or "Safety Program") is developed to provide standards for sound, workable safety activities to assist the City of St. Helena in fulfilling its important function of leadership and public service. The success of the safety program depends upon the positive support of the City Officials, the cooperation of department heads and all employees toward the prevention of accidents.

It is the policy of the City of St. Helena (St. Helena) to provide safe working conditions for all City employees and volunteers and to comply with Cal/OSHA regulations and occupational best practices in order to prevent workplace illness and injury.

Title 8 of the California Code of Regulations, Section 3203 requires that every employer establish, implement, and maintain an effective Injury and Illness Prevention Program (IIPP). The intent of the City's Health & Safety Manual is to establish policy and procedures not only to meet these regulations, but to continually improve employee health and safety, with the ultimate goal of eliminating work-related injury and illness.

It is the responsibility of each Department Head to establish safety as a standard operating procedure, and to insure safe working conditions for all City employees. It is the obligation of all City personnel to strive to prevent accidents and work injuries. Failure to following this program and safety directions will result in progressive disciplinary action up to and including discharge.

The basic purpose for the Injury and Illness Prevention program is the elimination of accidents and illness which cause occupational injuries or property damage. Each accident or injury is caused either by an unsafe act of an individual, an unsafe physical condition, or a combination of both. Accidents can be prevented by eliminating unsafe acts and correcting unsafe conditions.

The benefits of an active safety program touch on every phase of business, home and community. Specifically, these benefits include better working conditions, improved public relations, higher morale of workers, cost reduction, increased production and harmonious employer-employee relations.

The City agrees to make every reasonable provision for the safety and health of its employees while at work, to abide by applicable federal, state, county and city laws and to make available such protective equipment as is required by such law.

To accomplish this goal, and as a condition of employment, City officials, management, and staff must all work together to implement this IIPP and to identify, report, and abate potential hazards to foster a safe working environment.

SEC. 26.2 THE PLAN

A. Labor/Management Safety and Health Committee.

The City establishes, implements and agrees to maintain an effective Injury and Illness Prevention Program in accordance with Section 3203 of the General Industry Safety Orders as amended July 1, 1991. In order to accomplish the objectives, a Labor/Management Safety and Health Committee shall be maintained.

B. Safety Coordinator.

The City Manager shall appoint a Safety Coordinator which is typically delegated to a staff member in Human Resources. The Safety Coordinator shall have the following powers and duties:

1. Assist in the implementation and coordination of the Injury and Illness Prevention program for all City departments.

2. Assist in preparing and coordinating an overall educational and training program in accent prevention for all City departments and to assist them in the development of safe operating practices and in the elimination of unsafe conditions.

3. Review and analyze all reports and investigate or assist in investigating all employee accidents reported therein to determine causes and responsibilities, and at regular intervals prepare and distribute reports and summaries of the results for such investigations and review.

4. Call upon any City officer or employee and the Labor/Management Safety and Health Committee as needed for assistance in investigating accidents.

5. Oversee the inspection of City property; make recommendations to City officers and departments for the unsafe operating practices and procedures and unsafe physical and mechanical conditions of City property and facilities; and require such officers and departments to report in writing to the Safety Coordinator as to the action to correct such unsafe conditions.

6. Maintain an internal CAL OSHA 200 LOG and CAL OSHA Supplementary File for the current year and the previous five (5) years at the City Manager's office, City Hall.

7. Post the right half of the CAL OSHA log every February 1 for the entire year.

C. Departmental Safety Coordinator.

Each individual Department Head is delegated the authority and responsibility for implementing the Injury and Illness Prevention program in accordance to the City of St. Helena Injury and Illness Prevention Program, Health & Safety Manual for City Employee within their department. Department Heads must influence employee safety and provide the stimulus necessary to keep line supervisors active in their accident prevention efforts. The Department Head shall appoint a Departmental Safety Committee Coordinator consisting of one or more employees within their department or office.

It shall be the Department Head's responsibility to include those requirements as spelled out in SB 198, Statutes of 1989, Chapter 1369, Labor Code Section 6401.7 and Title 8 California Code of Regulations, General Industry Safety Orders 3203, Construction Safety Orders 1509. Compliance shall include, but not limited to:

1. Identifying safety and health hazards associated with occupations employed.

2. Developing a code of safe practices that effectively address identified hazards.

3. Implementing a system of periodic inspections, investigations and incidents and correcting deficiencies.

4. Implementing a training program for all employees.

5. Establishing a system for communicating with employees on safety matters.

6. Complying with record keeping requirements for Injury and Illness Prevention program.

D. Duties of Department Safety Committee Coordinator(s).

It shall be the duty of each department Safety Committee Coordinator(s) to:

1. Assist the department in promoting safety and in developing an effective accident prevention program within every department or office.

2. Constantly inspect departments or offices for conditions that might cause accidents and bring them to the attention of the Safety Coordinator through the head of their department or office.

3. Investigate and make detailed reports to the Department Head of all industrial, automobile, fire and other accidents involving city property and/or personnel within the department.

4. Assist the Safety Coordinator and the Safety Committee in their reviews.

5. Attend all meetings at the call of the Department Head.

6. Report to respective Department Head.

7. Be a designated department staff member to sit on the Labor/Management Safety and Health Committee.

E. Labor/Management Safety and Health Committee.

The City Manager shall establish a Labor/Management Safety and Health Committee. This committee shall be comprised of Departmental Safety Committee Coordinators from each department, should include at least one representation from all City field operations (Fire, Police and Public Works), and shall have a designated management safety representative (as identified and employee representative attend a quarterly Safety and Health Committee meeting. There will be equal representation of unit employees and supervisory management personnel. Unit employees may be nominated and elected by the employees of the department they represent or may be assigned by their appropriate Department Head. Supervisory management employees will be assigned by their appropriate Department Heads. All terms run on a fiscal year basis. Alternates may attend due to any absence.

F. Duties of the Labor/Management Safety and Health Committee:

1. Meet regularly on a quarterly basis (law requires at least quarterly).

2. Designate a Chair, Co-chair and Secretary by vote of the committee members.

3. Prepare and make available to all employees, written records of the safety and health issues discussed at the committee meetings and minutes of all meetings (minutes will be maintained and posted to the City's intranet by the Secretary).

4. Review investigations of occupational accidents and causes of incidents resulting in occupational injury, occupational illness or exposure to hazardous substances and, where appropriate, submit suggestions to management for prevention of future incidents.

5. Review investigations of occupational accidents and their causes with the objective of confirming the causal factors and ensuring steps have been or will be taken to prevent future incidents.

6. Develop special emphasis programs each fiscal year to communicate safety and health issues to City employees. Special emphasis programs may be based upon occupation injury and illness trends, recognition of hazards in the City, or suggestions from the employees regarding a target area(s) to improve.

7. Consider recognition programs for City employees whose contribution to the employees' safety and health efforts is unique in some way that improves the safety and health of City work.

8. Provide a forum for employees to voice safety and health issues, concerns or hazards that have not previously been addressed.

9. Encourage and facilitate employee-to-employer communications, either direct or anonymous.

SEC. 26.3 EMPLOYEE PROTECTION

There shall be no reprisals or discrimination for employee advising the City of unsafe conditions and practices, unrecognized hazards and suggestions to improve workplace safety. No employee or employee organization shall be held liable for any act or omission in connection with a health and safety committee.

RULE 27. FRAUD PREVENTION AND DETECTION POLICY

SEC. 27.1 OVERVIEW

The City recognizes the importance of protecting the organization, its operations, its employees and its assets against financial risks, operational breaches and unethical activities. Therefore, it is incumbent upon the City Council and City Management to institute and clearly communicate the fraud prevention policy to both internal and external stakeholders.

The City maintains a zero-tolerance policy regarding fraud and corruption. All matters raised by any source will be taken seriously and properly investigated. This policy covers all City employees and officials. Additionally, this policy covers City vendors, customers and partners to the extent that any City resources are committed or used.

SEC. 27.2 THE PLAN

A. Definitions.

1. Fraud is defined as an intentional deception, misappropriation of resources, or the manipulation of data to the advantage or disadvantage of a person or entity. Some examples of fraud include:

2. Falsification or inflation of expenses and invoices

   (a) Misappropriation of the City's assets (funds, supplies, furniture, equipment, etc.)

   (b) Unauthorized alteration or falsification of records

   (c) Improprieties in handling and accounting of monies collected, cash or otherwise

   (d) Knowingly providing false information on job applications, time sheets, requests for reimbursement or funding, and other forms

   (e) Profiteering as a result of insider knowledge of confidential activities

   (f) Computer-related activity involving unauthorized alteration, destruction, forgery, manipulation of data, or misappropriation of City-owned software

3. Corruption is defined as the offering, giving, soliciting or accepting of an inducement or reward that may improperly influence the action of a person or entity. Some examples of corruption include:

   (a) Bribery

   (b) Conspiracy

   (c) Extortion

B. Reporting Fraud and Corruption.

Allegations and concerns about fraudulent or corrupt activity may come from various sources including:

(a) Employees

(b) Vendors

(c) Members of the public

(d) Results of internal or external audit reviews

(e) Any other interested parties

All employees have a duty to report any information or suspicions about the possible fraudulent or corrupt activity of any official, employee, vendor or any other party associated with the City. Such duty includes reporting detected or suspected activity immediately to the employee's Department Head or supervisor.

If reporting this to the employee's Department Head or supervisor compromises the integrity of the information in any way, the employee should contact the City Manager and arrange for a meeting. Similarly, if the information cannot be discussed with the City Manager, the employee should contact the Mayor, Vice-Mayor or other City Council Member and arrange for a meeting to discuss the matter.

Alternatively, anonymous written complaint can be provided to the City Manager or, if the circumstances warrant, to the Mayor, Vice-Mayor or other Council member. It is strongly recommended that complaints be made no later than 10 working days of having knowledge or suspicion. It is also strongly recommended that a written and signed statement of the complaint be submitted to the City Manager within eight working days of the initial anonymous complaint report. Anonymity in the complaint procedure may compromise the City's ability to complete a thorough investigation. Complaints must include the following information:

(f) The employee's name and position title (unless made anonymously).

(g) The name of the alleged person or persons committing the fraud, including their title(s).

(h) The specific nature of the fraud and, if known, how long it has gone on.

(i) Witnesses to the fraud, if any.

No attempt should be made by anyone other than those authorized to conduct investigations or interviews/interrogations related to any suspected fraudulent act.

Retaliation and retribution will not be tolerated against any employee who reports suspected fraudulent or corrupt activities. All reports will be taken seriously and will be investigated by appropriate staff or legal counsel. If deemed necessary, the City will notify and fully cooperate with the appropriate law enforcement agency. Any investigation resulting in the finding of fraud or corruption will be reported to the City Council.

If an employee is determined to have acted maliciously or with deceit in making false accusation, the employee will be subject to disciplinary action.

If suspected fraud involves programs funded in whole or in part with federal funds, additional responsibilities, such as special reporting and disclosure to the awarding agency, may apply to the organization. It is the policy of the City to fully comply with all additional reporting, disclosure and other requirements pertaining to suspected acts of fraud.

C. Deterring Fraud and Corruption.

The City has established internal controls, policies, and procedures in an effort to deter, prevent, and detect fraud and corruption.

All new employees are subject to background investigations including a criminal background check. Prior to making an offer of employment to any applicant, the City will also verify some or all of the following items: employment history, education, and personal references.

All vendors, contractors, and suppliers must be in good standing, and authorized to transact business in the state of California. Vendors, contractors and suppliers are also subject to screening.

Contractual agreements with the City shall contain provisions prohibiting fraudulent or corruptive acts and shall include information about reporting fraud and corruption. City employees will receive fraud and corruption awareness training before the policy implementation and at least every two (2) years. New employees will receive training as part of orientation at the commencement of employment

D. Corrective Action.

Final determination regarding action against an employee, vendor, recipient or other person found to have committed fraud or corruption will be made by the City Manager, the City Council will take appropriate action.

Offenders at all levels of the organization will be treated equally regardless of their position or years of service, position/title, or relationship with the City. Determinations will be made based on a finding of facts in each case, actual or potential damage to the organization, cooperation by the offender, and legal requirements.

Depending upon the seriousness of the offense and the facts of each individual case, action against an employee can range from written reprimand to legal action, either civil or criminal. In all cases involving monetary losses, the City will pursue any and all means of legal recovery.

E. Confidentiality.

The City will treat all information received confidentially to the extent permitted by law. Investigation results will not be disclosed or discussed with anyone other than those who have a legitimate need to know. This is important in order to avoid damaging the

reputations of persons suspected by subsequently found innocent of wrongful conduct and to protect the City from potential civil liability.

RULE 28. VOLUNTEER & INTERNSHIP PROGRAM

Department Heads may appoint volunteer workers/interns who will serve without pay or other compensation. Minors under the age of 14 shall not be eligible for the City's volunteer & internship program. Minors under 18 years of age must obtain workers' permits ("Statement of Intent to Employ Minor and Request for Work Permit"), signed by the minor's parent or guardian, to be eligible for participating in the City's volunteer & internship program. Emancipated minors (i.e., minors entering into a valid marriage) applying for the City's volunteer & Internship Program must still obtain workers' permits—even though parental consent is not required.

EMPLOYEE ACKNOWLEDGEMENTS

CITY OF ST HELENA
ACKNOWLEDGEMENT OF RECEIPT OF PERSONNEL RULES/EMPLOYEE HANDBOOK

I acknowledge that I have received my copy of the City of St. Helena Personnel Rules/Employee Handbook. I recognize that the Personnel Rules/Employee Handbook supersede any inconsistent and/or conflicting Personnel Rules, policy statements, manuals, and/or administrative policies previously issued by the City of St. Helena. I will read and abide by all rules and regulations set forth in the Personnel Rules/Employee Handbook.

I understand that the Personnel Rules/Employee Handbook do not create a vested contractual right in the execution of the duties and responsibilities relating to the Personnel Rules/Employee Handbook.

_____ _____

Print Name Signature

_____

Date

CITY OF ST. HELENA
DRUG-FREE WORKPLACE POLICY
ACKNOWLEDGEMENT OF RECEIPT

By my signature below, I acknowledge that I have received, read, and understood the City of St. Helena's Drug-Free Workplace Policy, and I will abide by its terms. I understand that failure to fully comply with all terms set forth in the policy may lead to disciplinary action, up to and including termination.

_____ _____

Print Name Signature

_____

Date

CITY OF ST. HELENA
ACKNOWLEDGMENT OF RECEIPT OF
POLICY AGAINST DISCRIMINATION, HARASSMENT, RETALIATION, AND ABUSIVE CONDUCT

This will acknowledge that I have received my copy of the City of St. Helena's Policy against Discrimination, Harassment, Retaliation and Abusive Conduct ("Policy") and that I have read the Policy, understand my rights and obligations under the Policy, and agree to be bound by it.

My signature below further signifies that I have read this Policy and that I accept and will abide by all of its provisions.

_____ _____

Print Name Signature

_____

Date

CITY OF ST. HELENA
ACKNOWLEDGEMENT OF
ELECTRONIC COMMUNICATIONS POLICY

This will acknowledge that I have received, read, and understand the Policy on the Use of Electronic Communications of the City of St. Helena's ("City"). I am aware that violation of this Policy may result in disciplinary action, up to and including termination. I understand this signed acknowledgement will be maintained in my personnel file.

I recognize and understand that the City's Electronic Communications Systems are to be used primarily for conducting City business. I am aware that I have no expectation of privacy or confidentiality when using the City's Electronic Communications Systems and/or Electronic Storage. I understand that the City has, and will exercise, the right to monitor, review, copy, and/or disclose all matters on the City's Electronic Communications Systems and/or Electronic Storage at any time, with or without notice to me, and that such access may occur during or after working hours. I realize that the use of a password or other security features does not restrict the City's access.

I also hereby consent that the City may monitor, review, and/or copy any information, both personal and business related, on the City's Electronic Communications Systems and/or Electronic Storage at any time, and may, without further notice, disclose that information to a third party, including law enforcement agencies.

My signature below further signifies that I have read this Policy and that I accept and agree to comply with all of its provisions.

_____ _____

Print Name Signature

_____

Date

CITY OF ST. HELENA
ACKNOWLEDGEMENT OF
SOCIAL MEDIA POLICY

This will acknowledge that I have received, read, and understand the Social Media Policy of the City of St. Helena's ("City"). I am aware that violation of this Policy may result in disciplinary action, up to and including termination. I understand this signed acknowledgement will be maintained in my personnel file.

My signature below signifies that I have read this Policy and that I accept and agree to comply with all of its provisions.

_____ _____

Print Name Signature

_____

Date

St. Helena Boards, Committee & Commissions Roster

Updated: 12/22/22

Name	Appointment Date	Term Expires
Active Transportation & Sustainability Committee	**Term of office is 2 years**	
John Zimmerman	4/13/2021	6/30/2023
Glenn Smith	9/8/2015	6/30/2024
Leslie Stanton, Chair	3/23/2021	6/30/2024
Jeff Farmer, Vice Chair	6/27/2017	6/30/2023
Madelyn Chandler	8/13/2019	6/30/2024
Vacant, Alternate		6/30/2024
Vacant, Alternate		6/30/2024
City Council Liaison/Paul Dohring		
Staff Liaison/Preya Nixon		
Library Board of Trustees	**Term of office is 2 years**	
Lin Weber	10/14/2014	6/30/2023
Janet Myers	6/22/2021	6/30/2023
Alexandra Haslip	11/9/2021	6/30/2024
Suzanne Roomian	6/28/2022	6/30/2024
Terry Wood, Chair	11/1/2014	6/30/2024
David Slaby, Vice Chair	6/27/2017	6/30/2023
Vacant		6/30/2024
City Council Liaison/Council Member Chouteau		
Staff Liaison/Chris Kreiden		
Parks and Rec Commission	**Term of office is 2 years**	
Matthew Demchuk, Vice Chair	7/14/2015	6/30/2023
Rebekah Stoltz Weeman	3/26/2019	6/30/2023
Tye Taylor, Vice Chair	8/13/2019	6/30/2024
Doug Boeschen	6/28/2022	6/30/2024
Michelle Deasy, Chair	6/30/2020	6/30/2024
City Council Liaison/Council Member Hall		
Staff Liaison/Dave Jahns		
Planning Commission	**Term of office is 4 years**	
John Ponte, Chair	6/27/2017	6/30/2025
Autumn Anderson	2/12/2019	6/30/2024
Chris Warner	6/28/2022	6/30/2026
Marika Rothfeld	1/12/2021	6/30/2025
Rosaura Segura	1/12/2021	6/30/2024
Staff Liaison/Maya DeRosa		
Mosquito Abatement		
Brian Cramer	7/14/2015	12/31/2025
Active Transportation Advisory Committee (ATAC) to NVTA	**Term of office is 3 years**	
Lee Philipson	7/27/2021	6/302023
Napa County Local Food Advisory Council	**Term of office is 4 years**	
Jeannie Kerr	3/26/2015	1/1/2023

2023 St. HELENA INTERGOVERNMENTAL CITY COUNCIL ASSIGNMENTS

	MAYOR/COUNCIL COMMITTEE ASSIGNMENTS:	Mayor Dohring	Vice Mayor Hall	Council Member Chouteau	Council Member Summers	Council Member Hardy
Outside Assignments:						
1	City/SHUSD/Chamber/NVC (Monrovia)	Primary				
2	St. Helena Sewer District No. 1	Primary	Primary	Primary	Primary	Primary
3	Association of Bay Area Governments (ABAG) - Executive Board			Alternate		
4	Association of Bay Area Governments (ABAG) - General Assembly	Primary		Alternate		
5	Napa Valley Tourism Corporation (Umbrella for Napa County)		Primary			
6	League of California Cities – North Bay Division	Primary	Primary	Primary	Primary	Primary
7	Napa County City Selection Committee	*Primary				
8	Napa County Flood Control and Water Conservation District	*Primary				
9	Youth Opportunities Commission	Primary				
10	Napa County League of Governments (NCLOG)	Primary	Primary	Primary	Primary	Primary
11	Napa County Local Agency Formation Commission (LAFCO)					
12	Napa Valley Transportation Authority (NVTA)	*Primary		Alternate		
13	Napa County Watershed Information Center & Conservancy (WICC)					Alternate
14	Upper Valley Waste Management Agency			Primary		Alternate
15	Napa County Groundwater Sustainability Plan Advisory Committee	Primary				Primary
16	Napa County Regional Climate Action Committee			Primary		
17	Association of Bay Area Governments (ABAG) - Executive Board			Alternate		
Internal Ad Hoc Assignments:						
18	Active Transportation & Sustainability Committee (ATSC)	X				
19	Library Board			X		
20	Parks & Rec Commission		X			
21	Consider and synthesize stakeholder housing recommendations and recommend short and long-term housing initiatives to the City Council, including advancing the use of one or more of city-owned parcels (including Adams Street) for affordable housing.		X			X
22	Prepare/present citywide design guidelines to the Planning Commission for adoption.	X				
24	Prepare and implement COVID Business Recovery Plan & Continuity Strategy for Phase 1 Downtown Streetscape Project.		X	X		

2023 St. HELENA INTERGOVERNMENTAL CITY COUNCIL ASSIGNMENTS

	MAYOR/COUNCIL COMMITTEE ASSIGNMENTS:	Mayor Dohring	Vice Mayor Hall	Council Member Chouteau	Council Member Summers	Council Member Hardy
Internal Ad Hoc Assignments: (Continued)						
25	Develop marketing collateral for prospective tenants and prioritize targeted business types.		X	X		
27	The Council will designate two to three Youth Representatives to speak once everty two months at City Council meetings. These individuals would a) provide an update on youth related issues in the community and b) act as a liaison to youth when feedback is requested on City Council matters.	X		X		
31	Housing Element Focus Group Ad Hoc Committee	X				
32	Zoning Code Update Ad Hoc Committee		X			X
33	Water Ad Hoc Committee					X
34	Development of Will Serve Policy Ad Hoc Committee	X				
35	Non-Profit Grant Review Ad Hoc Committee	X				
38	Agenda Review Committee	X	X			
41	Napa Valley Blue Zones Steering and Leadership Committee	X				

* Per Gov't Code, Bylaws or MOU the Mayor or Vice Mayor is automatically assigned.

GOVERNMENT ACRONYMS

ACRONYM	WHAT DOES IT MEAN
ABAG	Association of Bay Area Governments
ACFR	Annual Comprehensive Financial Reports
ADU	Accessory Dwelling Unit
AWWA	American Water Works Association
BMP	Best Management Practices
CCAC	City Clerk Association of California
CCC	California Conservation Crews
CCR	Consumer Confidence Report
CDBG	Community Development Block Grant
CDC	California Detention Center
CDC	Center for Disease Control
CEQA	California Environmental Quality Act
CIP	Capital Improvement Project
CIRA	California Intergovernmental Risk Authority
CJPRMA	California Joint Powers Risk Management Authority
CLA	California Library Association
CLETS	California Law Enforcement Telecommunications System
CLSA	California Library Services Act
COPS	Citizen's Options for Public Safety
CRMA	California Risk Management Authority
CSL	California State Library
CSMFO	California Society of Municipal Financial Officers
CSO	Community Services Officer
CUP	Conditional Use Permit
EIR	Environmental Impact Report
EOC	Emergency Operations Center
DA	Development Agreement
DARE	Drug Abuse Resistance Education
DBP	Disinfection By-Products
DMV	Department of Motor Vehicles
DPW	Department of Public Works
EAP	Employee Assistance Program
EIR	Environmental Impact Report
EMS	Emergency Medical Services
EOC	Emergency Operations Center
EPA	Environmental Protection Agency
ERAF	Education Review Augmentation Fund
FAR	Floor Area Ratio
FEMA	Federal Emergency Management Agency
FF	Firefighter
FTE	Full Time Equivalent
GAAP	Generally Accepted Accounting Principles
GAAS	Generally Accepted Auditing Standards
GASP	Governmental Accounting Standards Board

GOVERNMENT ACRONYMS

ACRONYM	WHAT DOES IT MEAN
GFOA	Government Finance Officers Association
GIS	Geographic Information Systems
GO Bond	General Obligation Bond
GSA/GSP	Groundwater Sustainability Agency/Plan
HCD	Department of Housing and Community Development (State Office)
HDPE	High-Density Polyethylene Pipe
HSP	High Service Pump
HVAC	Heating & Air Conditioning
ICC	Incident Command Center
ICMA	International City/County Management Association
JOC	Joint Operation Center
LAFCO	Local Agency Formation Commission
LSWTP	Louis Stralla Water Treatment Plant
Measure T	Napa County local sales tax for roadway projects administered by the NVTA
MEDEVAC	Medical Evacuation
MDC	Mobile Data Center
MGD	Million Gallons per Day
MMRP	Mitigation Monitoring and Reporting Program
MND	Mitigated Negative Declaration
MSD	Metropolitan Sewer District
MTC	Metropolitan Transportation Commission
NBCLS	North Bay Cooperative Library System
NCDC	Napa County Detention Center
NCLOG	Napa County League of Government
NCTPA	Napa County Transportation Planning Agency
NFPA	National Fire Protection Association
NLS	Northnet Library System
NSIB	Napa County Special Investigation Bureau
NVTA	Napa Valley Transportation Authority
OCLC	Online Computer Library Center, Inc.
OES	Office of Emergency Services
PARMA	Public Agency Risk Management Association
PERS	Public Employees Retirement System (also known as CalPERS)
PLF	Public Library Foundation
POA	Police Officers Association
POF	Police Officers Foundation
REMIF	Redwood Empire Municipal Insurance Fund
RIMS	Records Integrated Management System
RHNA	Regional Housing Needs Allocation
RLS	Robert Louis Stevenson Middle School
RWQCB	Regional Water Quality Control Board
SB1/RMRA	Senate Bill 1/Roadway Maintenance and Rehabilitation Act
SBW	Stonebridge Well
SCADA	Supervising Control and Data Acquisition
SCBA	Self-Contained Breathing Apparatus

GOVERNMENT ACRONYMS

ACRONYM	WHAT DOES IT MEAN
SHEA	St. Helena Employee Association
SHPFA	St. Helena Professional Firefighters Association
SNAP	Solono & Napa Partners
SSO	Sanitary Sewer Overflow
STR	Short Term Rental
SWRCB	State Water Resources Control Board
TID	Tourism Improvement District
TOT	Transient Occupancy Tax
TUP	Temporary Use Permits
VFD	Variable Frequency Drive
VMT	Vehicle Miles Traveled
WTP	Water Treatment Plant
WWTRP (WWTP)	Wastewater Treatment Plant and Reclamation Facility