

**CITY OF SANTA BARBARA
CITY COUNCIL**

Helene Schneider
Mayor
Frank Hotchkiss
Mayor Pro Tempore
Grant House
Ordinance Committee Chair
Dale Francisco
Finance Committee Chair
Cathy Murillo
Randy Rowse
Bendy White



James L. Armstrong
City Administrator

Stephen P. Wiley
City Attorney

City Hall
735 Anacapa Street
<http://www.SantaBarbaraCA.gov>

**FEBRUARY 14, 2012
AGENDA**

ORDER OF BUSINESS: Regular meetings of the Finance Committee and the Ordinance Committee begin at 12:30 p.m. The regular City Council meeting begins at 2:00 p.m. in the Council Chamber at City Hall.

REPORTS: Copies of the reports relating to agenda items are available for review in the City Clerk's Office, at the Central Library, and <http://www.SantaBarbaraCA.gov>. In accordance with state law requirements, this agenda generally contains only a brief general description of each item of business to be transacted or discussed at the meeting. Should you wish more detailed information regarding any particular agenda item, you are encouraged to obtain a copy of the Council Agenda Report (a "CAR") for that item from either the Clerk's Office, the Reference Desk at the City's Main Library, or online at the City's website (<http://www.SantaBarbaraCA.gov>). Materials related to an item on this agenda submitted to the City Council after distribution of the agenda packet are available for public inspection in the City Clerk's Office located at City Hall, 735 Anacapa Street, Santa Barbara, CA 93101, during normal business hours.

PUBLIC COMMENT: At the beginning of the 2:00 p.m. session of each regular City Council meeting, and at the beginning of each special City Council meeting, any member of the public may address the City Council concerning any item not on the Council's agenda. Any person wishing to make such address should first complete and deliver a "Request to Speak" form prior to the time that public comment is taken up by the City Council. Should City Council business continue into the evening session of a regular City Council meeting at 6:00 p.m., the City Council will allow any member of the public who did not address them during the 2:00 p.m. session to do so. The total amount of time for public comments will be 15 minutes, and no individual speaker may speak for more than 1 minute. The City Council, upon majority vote, may decline to hear a speaker on the grounds that the subject matter is beyond their jurisdiction.

REQUEST TO SPEAK: A member of the public may address the Finance or Ordinance Committee or City Council regarding any scheduled agenda item. Any person wishing to make such address should first complete and deliver a "Request to Speak" form prior to the time that the item is taken up by the Finance or Ordinance Committee or City Council.

CONSENT CALENDAR: The Consent Calendar is comprised of items that will not usually require discussion by the City Council. A Consent Calendar item is open for discussion by the City Council upon request of a Councilmember, City staff, or member of the public. Items on the Consent Calendar may be approved by a single motion. Should you wish to comment on an item listed on the Consent Agenda, after turning in your "Request to Speak" form, you should come forward to speak at the time the Council considers the Consent Calendar.

AMERICANS WITH DISABILITIES ACT: In compliance with the Americans with Disabilities Act, if you need special assistance to gain access to, comment at, or participate in this meeting, please contact the City Administrator's Office at 564-5305 or inquire at the City Clerk's Office on the day of the meeting. If possible, notification at least 48 hours prior to the meeting will enable the City to make reasonable arrangements in most cases.

TELEVISION COVERAGE: Each regular City Council meeting is broadcast live in English and Spanish on City TV Channel 18 and rebroadcast in English on Wednesdays and Thursdays at 7:00 p.m. and Saturdays at 9:00 a.m., and in Spanish on Sundays at 4:00 p.m. Each televised Council meeting is closed captioned for the hearing impaired. Check the City TV program guide at www.citytv18.com for rebroadcasts of Finance and Ordinance Committee meetings, and for any changes to the replay schedule.

ORDER OF BUSINESS

- 12:30 p.m. - Finance Committee Meeting, David Gebhard Public Meeting Room,
630 Garden Street
- 2:00 p.m. - City Council Meeting

FINANCE COMMITTEE MEETING - 12:30 P.M. IN THE DAVID GEBHARD PUBLIC MEETING ROOM, 630 GARDEN STREET (120.03)

Subject: Fiscal Year 2012 Mid-Year Review

Recommendation: That Finance Committee recommend that Council:

- A. Hear a report from staff on the status of revenues and expenditures in relation to budget as of December 31, 2011;
- B. Accept the Fiscal Year 2012 Interim Financial Statements for the Six Months Ended December 31, 2011; and
- C. Approve the proposed mid-year adjustments to Fiscal Year 2012 appropriations and estimated revenues..

(See Council Agenda Item No. 14)

REGULAR CITY COUNCIL MEETING – 2:00 P.M.

CALL TO ORDER

PLEDGE OF ALLEGIANCE

ROLL CALL

CHANGES TO THE AGENDA

PUBLIC COMMENT

CONSENT CALENDAR

CITY COUNCIL

1. Subject: Minutes

Recommendation: That Council waive the reading and approve the minutes of the regular meeting of January 24, 2012.

2. Subject: Designation Of Deputy City Clerk (170.02)

Recommendation: That Council approve the designation of Sarah L. Fox, Records Technician, to function as a Deputy City Clerk.

3. Subject: Agreement For Skofield Park Resident Caretaker (570.05)

Recommendation: That Council authorize the Parks and Recreation Director to execute a Caretaker Rental Agreement for Skofield Park with Steven Spencer through February 28, 2013.

4. Subject: Update To Records Management Policies And Procedures Manual (160.06)

Recommendation: That Council adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Approving the City of Santa Barbara Records Management Policies and Procedures Manual, and Rescinding Resolution No. 09-098.

CONSENT CALENDAR (CONT'D)

CITY COUNCIL (CONT'D)

5. Subject: Resolution For Licenses For Water Service Meters And Introduction Of Ordinance For Easements On Tunnel Reservoir Property (330.08)

Recommendation: That Council:

- A. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Approving and Accepting the Private Water Main Construction and Water Meter License Agreement for the Placement, Maintenance, and Reading of Public Water Service Meters, and for All Related Purposes, on Portions of Certain Real Properties Commonly Known as 2825, 2845, 2875, 2885, and 2895 Spyglass Ridge Road, and Authorizing the Public Works Director to Execute Said Agreement with William Pasich, George V. Valois and Sherry R. Valois, Trustees, Carolyn V. Cooper, Trustee, Frederica McKay Thompson, Trustee, and Joel J. Berti and Georgia E. Berti, Trustees, Relating to the Placement of a Private Water System Within Spyglass Ridge Road Located in the County of Santa Barbara; and
- B. Introduce, and subsequently adopt, by reading of title only, An Ordinance of the Council of the City of Santa Barbara Approving and Authorizing the Public Works Director to Execute a Certain Private Road Easement Agreement with William Pasich, George V. Valois and Sherry R. Valois, Trustees, Carolyn V. Cooper, Trustee, Frederica McKay Thompson, Trustee, and Joel J. Berti and Georgia E. Berti, Trustees, Granting and Acknowledging Private Easements for the Continuing Use and Maintenance of Spyglass Ridge Road, Including Public Utilities, Located on a Portion of the Tunnel Trail Property, Sometimes Known as Tunnel Reservoir Property, Owned by the City of Santa Barbara, For Ingress and Egress to Properties Located in the County of Santa Barbara Known as 2825, 2845, 2875, 2885 and 2895 Spyglass Ridge Road.

6. Subject: Coastal Resource Enhancement Fund Grant Funds In The Amount Of \$40,000 For The Shoreline Park Safety Improvement Project (570.05)

Recommendation: That Council:

- A. Authorize the Parks and Recreation Director to enter into an agreement with the County of Santa Barbara, in a form acceptable to the City Attorney, to receive Coastal Resource Enhancement Fund (CREF) grant funds; and
- B. Increase appropriations and estimated revenues by \$40,000 in the Fiscal Year 2012 Parks and Recreation Capital Program.

CONSENT CALENDAR (CONT'D)

CITY COUNCIL (CONT'D)

7. Subject: Adoption Of Ordinance For Extension Of MOU With Hourly Bargaining Unit (440.02)

Recommendation: That Council adopt, by reading of title only, An Ordinance of the Council of the City of Santa Barbara Extending the Term of the Existing Memorandum Of Understanding Between the City Of Santa Barbara and the Hourly Employees' Bargaining Unit through December 31, 2012.

8. Subject: Adoption Of An Ordinance For The Rezoning Of 415 Alan Road Parcel B (640.07)

Recommendation: That Council adopt, by reading of title only, An Ordinance of the Council of the City of Santa Barbara Amending Chapter 28.12 (Zone Map) of Title 28 of the Municipal Code Pertaining to the Rezoning of Property at 415 Alan Road - Parcel B.

SUCCESSOR AGENCY

9. Subject: Redevelopment Agency Fiscal Year 2012 Interim Financial Statements For The Six Months Ended December 31, 2011

Recommendation: That Council, acting as the Successor Agency to the City of Santa Barbara Redevelopment Agency, accept the Redevelopment Agency Fiscal Year 2012 Interim Financial Statements for the Six Months Ended December 31, 2011.

NOTICES

10. The City Clerk has on Thursday, February 9, 2012, posted this agenda in the Office of the City Clerk, on the City Hall Public Notice Board on the outside balcony of City Hall, and on the Internet.
11. Received letters of resignation from Building and Fire Code Board of Appeals Member Meg West, and Mosquito and Vector Management District Member David Pritchett; the vacancies will be part of the next City Advisory Group recruitment.

This concludes the Consent Calendar.

REPORT FROM THE FINANCE COMMITTEE

CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS

ADMINISTRATIVE SERVICES DEPARTMENT

12. Subject: Special City Election Of June 2012 On Veronica Meadows Specific Plan (Road and Bridge Approval Pursuant To Charter Section 520) (110.03)

Recommendation: That Council find and determine as follows:

- A. That an environmental impact report ("2008 Final EIR") was prepared and certified in compliance with the California Environmental Quality Act in connection with the Veronica Meadows Specific Plan Project. The 2008 Final EIR, as duly certified on June 17, 2008, by the City Council (Resolution No. 08-049) is adequate to address a June 2012 City ballot measure seeking voter approval of the Arroyo Burro Road and Bridge aspects of the Veronica Meadows Specific Plan Project as required by City Charter section 520. In accordance with Section 15164 of the state CEQA Guidelines, an Addendum to the Veronica Meadows Specific Plan Project EIR has been prepared to identify the need for voter approval of the bridge across Arroyo Burro Creek and to assess any possible environmental concerns with such voter review and possible approval. Based on this Addendum, the Council finds that a subsequent EIR is not required because the need for voter approval of the road and bridge is a minor change in the Specific Plan Project and, as such, it does not require revisions to the EIR because no new environmental effects would be involved in merely obtaining voter approval or voter rejection of the use of some City undeveloped parkland project for construction of the road and bridge. Further, the Council finds that there would be no change to the severity of potential environmental effects of the Veronica Meadows Project as a result of this ballot measure. Finally, the Council finds that mitigation measures adopted for the Project are still feasible and appropriate and would be unchanged by voter approval. The findings adopted as part of the City Council's prior certification of the EIR are therefore hereby included as part of this Council action as though those findings were fully set forth herein;
- B. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Calling and Giving Notice of the Holding of a Special Municipal Election to Be Held in the City of Santa Barbara on Tuesday, June 5, 2012, for the Submission of a Proposition Measure to the Voters of the City Pursuant to City Charter Section 520 Concerning the Future Use Of Certain Undeveloped City Parkland Property;
- C. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Requesting the Board of Supervisors of the County of Santa Barbara to Consolidate a Special Municipal Election to Be Held on June 5, 2012, with the Statewide Primary Election to Be Held on that Date Pursuant to Section 10403 of the Elections Code;

(Cont'd)

CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS (CONT'D)

ADMINISTRATIVE SERVICES DEPARTMENT (CONT'D)

12. (Cont'd)

- D. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Directing the City Attorney to Prepare an Impartial Analysis of the City Measure to be Placed on the Ballot for the June 5, 2012, Special Municipal Election of the City of Santa Barbara; and
- E. Determine whether the City Council or any individual member(s) of City Council will file an argument regarding the measure and, if so, adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Authorizing the Filing of a Written Argument Regarding a City Measure to be Placed on the Ballot for the June 5, 2012, Special Municipal Election.

COMMUNITY DEVELOPMENT DEPARTMENT

13. Subject: Implementation Of General Plan Interim Policy ER7 For Air Quality Issues (650.05)

Recommendation: That Council:

- A. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Regarding the Implementation of the General Plan Interim Policy Regarding Air Quality Issues; and
- B. Direct Staff to meet with the Council Ordinance Committee to consider project specific criteria to implement air quality policies, and return to Council for adoption of additional criteria.

FINANCE DEPARTMENT

14. Subject: Fiscal Year 2012 Mid-Year Review (230.04)

Recommendation: That Council:

- A. Hear a report from staff on the status of revenues and expenditures in relation to budget as of December 31, 2011;
- B. Accept the Fiscal Year 2012 Interim Financial Statements for the Six Months Ended December 31, 2011; and
- C. Approve the proposed mid-year adjustments to Fiscal Year 2012 appropriations and estimated revenues.

CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS (CONT'D)

LIBRARY DEPARTMENT

15. Subject: Re-Opening Eastside Library On Mondays (570.04)

Recommendation: That Council:

- A. Consider a request from Councilmembers Murillo and White to approve funding to keep the Eastside Library open on Monday afternoons for the remainder of Fiscal Year 2012 and consider funding Monday hours at the Eastside Library in Fiscal Year 2013; and
- B. If approved by Council, authorize an increase in appropriation of \$6,800 to the General Fund Library Department's Fiscal Year 2012 budget, funded from an increase to estimated transient occupancy tax revenues, to cover the increase costs.

COUNCIL AND STAFF COMMUNICATIONS

COUNCILMEMBER COMMITTEE ASSIGNMENT REPORTS

CLOSED SESSIONS

16. Subject: Conference With Legal Counsel - Pending Litigation (160.03)

Recommendation: That Council hold a closed session to consider pending litigation pursuant to subsection (a) of section 54956.9 of the Government Code and take appropriate action as needed. The pending litigation is Luke Brost as Trustee for the Luke Brost Living Trust, et al., v. City of Santa Barbara, Case No. 1342979.

Scheduling: Duration, 15 minutes; anytime

Report: None anticipated

17. Subject: Conference With Legal Counsel - Pending Litigation (160.03)

Recommendation: That Council hold a closed session to consider pending litigation pursuant to subsection (a) of section 54956.9 of the Government Code and take appropriate action as needed. The pending litigation is Santa Barbara Channelkeeper v. City of Santa Barbara, USDC Case No. CV-1103624 JHN (AGRx).

Scheduling: Duration, 15 minutes; anytime

Report: None anticipated

ADJOURNMENT

CITY OF SANTA BARBARA

FINANCE COMMITTEE

MEETING AGENDA

DATE: February 14, 2012

Dale Francisco, Chair

TIME: 12:30 P.M.

Bendy White

PLACE: David Gebhard Public Meeting Room
630 Garden Street

Cathy Murillo

James L. Armstrong
City Administrator

Robert Samario
Finance Director

ITEM TO BE CONSIDERED:

Subject: Fiscal Year 2012 Mid-Year Review

Recommendation: That Finance Committee recommend that the Council:

- A. Hear a report from staff on the status of revenues and expenditures in relation to budget as of December 31, 2011;
- B. Accept the Fiscal Year 2012 Interim Financial Statements for the Six Months Ended December 31, 2011; and
- C. Approve the proposed mid-year adjustments to Fiscal Year 2012 appropriations and estimated revenues.

(See Council Agenda Item No. 14)



CITY OF SANTA BARBARA CITY COUNCIL MINUTES

REGULAR MEETING January 24, 2012 COUNCIL CHAMBER, 735 ANACAPA STREET

CALL TO ORDER

Mayor Helene Schneider called the meeting to order at 2:00 p.m. (The Finance and Ordinance Committees, which ordinarily meet at 12:30 p.m., did not meet on this date.)

PLEDGE OF ALLEGIANCE

Mayor Schneider.

ROLL CALL

Councilmembers present: Dale Francisco (2:05 p.m.), Frank Hotchkiss, Grant House, Cathy Murillo, Randy Rowse, Bendy White, Mayor Schneider.

Councilmembers absent: None.

Staff present: City Administrator James L. Armstrong, City Attorney Stephen P. Wiley, Deputy City Clerk Susan Tschech.

PUBLIC COMMENT

Speakers: Kenneth Loch; Sherrie Fisher, Santa Barbara Metropolitan Transit District; David Daniel Diaz; W. Scott Burns; Brooke Robbins; Kate Smith.

ITEM REMOVED FROM CONSENT CALENDAR

Councilmember Murillo stated she would abstain from voting on the following item as she was not a member of Council at the time the meetings were held.

1. Subject: Minutes

Recommendation: That Council waive the reading and approve the minutes of the special meeting of November 22, 2011, the regular meeting of November 22, 2011, and the regular meeting of November 29, 2011 (cancelled).

(Cont'd)

1. (Cont'd)

Motion:

Councilmembers Hotchkiss/White to approve the recommendation.

Vote:

Unanimous voice vote (Abstention: Councilmember Murillo).

CONSENT CALENDAR (Item Nos. 2 - 6)

The title of the resolution related to Item No. 2 was read.

Motion:

Councilmembers White/Francisco to approve the Consent Calendar as recommended.

Vote:

Unanimous roll call vote.

2. Subject: Adoption Of The 2011 Update Of The Santa Barbara County Multi-Jurisdiction Hazard Mitigation Plan And The City Of Santa Barbara Annex (520.02)

Recommendation: That Council adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Adopting the 2011 Update of the Santa Barbara County Multi-Jurisdiction Hazard Mitigation Plan and the City of Santa Barbara Annex.

Action: Approved the recommendation; Resolution No. 12-004 (January 24, 2012, report from the Fire Chief; proposed resolution).

3. Subject: Professional Services Agreement For Tertiary Filtration Assessment And Design (540.13)

Recommendation: That Council authorize the Public Works Director to execute a Professional Services Agreement with Camp Dresser McKee & Smith, Inc., in the amount of \$449,795 for engineering assessment and preliminary design services for the recycled water filtration facility, and authorize the Public Works Director to approve expenditures of up to \$44,980 for extra services of Camp Dresser McKee & Smith, Inc., that may result from necessary changes in the scope of work.

Action: Approved the recommendation; Agreement No. 23,977 (January 24, 2012, report from the Public Works Director).

4. Subject: Reappointment Of Youth Intern, Michael Yi, To Parks And Recreation Commission (570.08)

Recommendation: That Council reappoint youth intern Michael Yi to the Parks and Recreation Commission.

Action: Approved the recommendation (January 24, 2012, report from the Parks and Recreation Director).

5. Subject: Tactical Patrol Rifle Project - Motor Detail (330.05)

Recommendation: That Council:

- A. Accept a donation in the amount of \$23,220 from the Santa Barbara Police Foundation; and
- B. Appropriate the donation of \$23,220 from the Santa Barbara Police Foundation to the Police Asset Forfeiture and Miscellaneous Grants Fund for the purchase and installation of motorcycle patrol rifles.

Action: Approved the recommendations (January 24, 2012, report from the Police Chief).

NOTICES

6. The City Clerk has on Thursday, January 19, 2012, posted this agenda in the Office of the City Clerk, on the City Hall Public Notice Board on the outside balcony of City Hall, and on the Internet.

This concluded the Consent Calendar.

CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS

COMMUNITY DEVELOPMENT DEPARTMENT

7. Subject: Zoning Ordinance Amendment For Veronica Meadows Specific Plan And Veronica Meadows Bridge Ballot Measure (680.04)

Recommendation: That Council:

- A. Direct City Clerk's staff and the City Attorney to prepare the necessary resolutions required to call a special City election for Tuesday, June 5, 2012, and to consolidate the City election with the statewide primary election being conducted by the County of Santa Barbara, to place a ballot measure before City voters on whether the City Council should grant a construction right-of-way for a City street and bridge to be constructed across Arroyo Burro Creek utilizing a corner of City-owned park open space property adjacent to Las Positas Road in order to provide access for the Veronica Meadows residential subdivision project as required by City Charter §520; and

7. (Cont'd)

- B. Defer the Council's consideration of the adoption of An Ordinance of the Council of the City of Santa Barbara Amending Municipal Code Title 28 by Amending Chapter 28.50, the "Veronica Meadows Specific Plan," until after the special City election of June 5, 2012.

Documents:

- January 24, 2012, report from the Assistant City Administrator/Community Development Director.
- PowerPoint presentation prepared and made by Staff.
- PowerPoint presentation prepared and made by Steven Amerikaner, representing Peak-Las Positas Partners (Applicant).
- January 23, 2012, letter from Marc Chytilo, Attorney, representing the Citizens Planning Association and the Santa Barbara Urban Creeks Council.

Speakers:

- Staff: Project Planner Allison De Busk, City Attorney Stephen Wiley, City Clerk Services Manager Cynthia Rodriguez.
- Applicant (Peak-Las Positas Partners): Steven Amerikaner, Mark Lee.
- Members of the Public: Todd Lyle; Marc Chytilo; Eddie Harris, Santa Barbara Urban Creeks Council.

Motion:

Councilmembers Hotchkiss/Rowse to approve recommendation A.

Vote:

Majority voice vote (Noes: Councilmembers Murillo, White).

Motion:

Councilmembers House/Murillo to approve recommendation B.

Vote:

Unanimous voice vote.

PUBLIC WORKS DEPARTMENT

8. Subject: De La Vina Intersection Improvements At Figueroa And Canon Perdido Streets (530.04)

Recommendation: That Council:

- A. Receive a report on the options for intersection improvements at the intersection of De La Vina and Figueroa Streets;
- B. Approve the installation of marked crosswalks and associated warning signs at the intersection of De La Vina and Figueroa Streets; and

(Cont'd)

8. (Cont'd)

- C. Hear an update on improvements at the intersection of De La Vina and Canon Perdido Streets.

Documents:

- January 24, 2012, report from the Public Works Director.
- PowerPoint presentation prepared and made by Staff.
- January 23, 2012, letter from Shine Ling.

Speakers:

- Staff: Public Works Director Christine Andersen, Supervising Transportation Engineer Derrick Bailey, City Attorney Stephen Wiley.
- Transportation and Circulation Committee: Chair Edward France.
- Members of the Public: Brittany Odermann Heaton, Robert Adams, Annie McGill.

Motion:

Councilmembers House/White to approve Alternative 2A (Addition of Curb Extensions at All Corners, Addition of Lighting) for improvements to the intersection of De La Vina and Figueroa Streets.

Vote:

Majority voice vote (Noes: Councilmembers Francisco, Hotchkiss, Rowse).

MAYOR AND COUNCIL REPORTS

9. Subject: Advisory Groups Updates And Council Liasons (140.07)

Recommendation: That Council consider the appointment of Liaisons to Advisory Boards and Commissions.

Documents:

January 24, 2012, report from the City Administrator.

By consensus, the Council made the following appointments of Council liaisons to and members of Advisory Groups, Council Committees, City-Related Agencies, and Regional Agencies:

Advisory Groups

Airport Commission (incl. Airport Noise Abatement Committee)	Rowse
Architectural Board of Review	Francisco; Alternate: House
Arts Advisory Committee	Hotchkiss
Building and Fire Code Board of Appeals	House
Civil Service Commissioners, Board of	House

(Cont'd)

9. (Cont'd)

Advisory Groups (Cont'd)

Community Development and Human Services Committee	Hotchkiss
Community Events and Festivals Committee	Murillo
Creeks Advisory Committee	Hotchkiss; Alternate: House
Downtown Parking Committee	Rowse; Alternate: House
Fire and Police Commissioners, Board of	White
Fire and Police Pension Commissioners, Board of	Murillo
Harbor Commissioners, Board of	Hotchkiss
Historic Landmarks Commission	Francisco
Housing Authority Commission	Rowse
Library Board	Francisco
Neighborhood Advisory Council	Murillo, White
Parks and Recreation Commission	Murillo
Planning Commission	White
Rental Housing Mediation Task Force	Francisco
Santa Barbara Sister Cities Board	Hotchkiss
Single Family Design Board	Francisco; Alternate: House
Transportation and Circulation Committee	Murillo; Alternate: House
Water Commissioners, Board of	White
Youth Council	Murillo

Council Committees

Committee on Homelessness and Community Relations	Francisco, White, Schneider
Committee on Legislation	Francisco, House, White
Commuter Rail Exploration	Francisco, House, Schneider
Finance Committee	Francisco (Chair), Murillo, White; Alternate: Schneider
Mayor Pro Tempore	Hotchkiss
Ordinance Committee	Hotchkiss, House (Chair), Rowse; Alternate: Schneider
Sustainability Council Committee	Schneider, Rowse, White
Zone One Solid Waste Franchise Ad Hoc Subcommittee	Francisco, Rowse, Schneider

City-Related Agencies

Coast Village Business Association	House
Conference and Visitors Bureau	House
Downtown Organization	House; Alternate: White
Greater Santa Barbara Lodging Association	Francisco; Alternate: Rowse
Looking Good Santa Barbara Committee	Hotchkiss
Presidio Joint Powers Committee	Francisco
Santa Barbara Beautiful	Hotchkiss
Santa Barbara Film Commission	Hotchkiss

Regional Agencies

Beach Erosion Authority for Clean Oceans and Nourishment	House
Cachuma Conservation Release Board	Francisco; Alternate: White
Cachuma Operation and Maintenance Board	Francisco; Alternate: White
Central Coast Water Authority	Francisco; Alternate: White

(Cont'd)

9. (Cont'd)

Regional Agencies (Cont'd)

City/County Affordable Housing Task Group	Francisco, Murillo
City/County Solid Waste Task Group	Schneider, White; Alternate: Rowse
Community Action Commission	House (rep. by Comm. Dev. Staff)
Governing Board of Ten-Year Plan to End Chronic Homelessness	Schneider
Los Angeles-San Diego Rail Corridor Agency (LOSSAN)	Alternate: Schneider
Santa Barbara County Air Pollution Control Dist. Bd. of Directors	Schneider; Alternate: House
Santa Barbara County Association of Governments (SBCAG)	Schneider; Alternate: House
Santa Barbara Metropolitan Transit District Board	Murillo; Alternate: House
South Coast Gang Task Force Leadership Council	Schneider; Alternate: Francisco
South Coast Homeless Advisory Committee of Santa Barbara County	House

National and State Organizations

Channel Counties Division of the League of California Cities (President)	Schneider
Local Government Commission	House

NOTE: The Lower Mission Creek Design Committee was removed from the list due to prior Staff action to disband the committee.

10. Subject: Appointment To Planning Commission (140.05)

Recommendation: That Council appoint an applicant to the Planning Commission.

(Continued from December 13, 2011, Agenda Item No. 18)

Nominees:

John Campanella, June Pujo, Joseph Rution.

Vote:

- For Campanella: Councilmembers Francisco, Hotchkiss, Rowse, White.
- For Pujo: Councilmembers House, Murillo, Mayor Schneider.
- For Rution: None.

Appointment:

John Campanella was appointed for a term expiring December 31, 2015.

RECESS

4:58 p.m. - 5:09 p.m.

CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS (CONT'D)

POLICE DEPARTMENT

11. Subject: Police Department Update (520.04)

Recommendation: That Council receive an oral presentation from the Police Chief regarding the Santa Barbara Police Department.

Documents:

- January 24, 2012, report from the Police Chief.
- PowerPoint presentation prepared and made by Staff.

Speakers:

Staff: Police Chief Camerino Sanchez.

Discussion:

Police Chief Sanchez reported on trends for violent and property crimes, current staffing of the department (141 officers employed), Restorative Policing success stories, research into and a pilot installation of in-car video cameras, an upgrade to the 911 system, current community issues and a new community outreach effort, and Police Activities League programs for youth. Councilmembers' questions were answered.

RECESS

5:55 p.m. - 6:15 p.m.

Mayor Schneider presiding.

Councilmembers present: Francisco, Hotchkiss, House, Murillo, Rowse, White, Mayor Schneider.

Councilmembers absent: None.

Staff present: City Administrator Armstrong, City Attorney Wiley, Deputy City Clerk Tschech.

PUBLIC COMMENT

No one wished to speak.

CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS (CONT'D)

PUBLIC WORKS DEPARTMENT (CONT'D)

12. Subject: State Route 225 Relinquishment Update (530.04)

Recommendation: That Council:

- A. Receive an update on the State Route 225 Relinquishment; and
- B. Provide direction to staff regarding the State Route 225 Relinquishment.

12. (Cont'd)

Documents:

January 24, 2012, report from the Public Works Director.

Speakers:

- Staff: Public Works Director Christine Andersen, City Attorney Stephen Wiley, City Administrator James Armstrong.
- Members of the Public: Inger Budke; Dianne Bess, SHIFCO; David VanHoy; Lesley Wiscomb; Wayne Tustin; Timothy Harding; Dennis Thompson; Victor Suhr; Holly Tatomer, SHIFCO; Hillary Blackerby; Alice San Andres-Calleja.

Motion:

Councilmembers House/Rowse to direct staff to move forward with the State Route 225 Relinquishment under the following conditions:
1) resolution of the City Attorney's concerns with liability and litigation related to the roadway; 2) Caltrans' completion of required drainage improvements or agreement to fund the City's estimate for this work; and 3) satisfactory negotiation with Caltrans on the assessment of the Las Positas Bridge overcrossing and the completion of needed repairs to this structure; and further direct Staff to return to Council for additional direction if necessary.

Vote:

Majority voice vote (Noes: Councilmember Francisco).

ADJOURNMENT

Mayor Schneider adjourned the meeting at 8:05 p.m.

SANTA BARBARA CITY COUNCIL

SANTA BARBARA
CITY CLERK'S OFFICE

HELENE SCHNEIDER
MAYOR

ATTEST: _____
SUSAN TSCHECH, CMC
DEPUTY CITY CLERK



Agenda Item No. _____

File Code No. 170.02

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012

TO: Mayor and Councilmembers

FROM: City Clerk's Office, Administrative Services Department

SUBJECT: Designation Of Deputy City Clerk

RECOMMENDATION:

That Council approve the designation of Sarah L. Fox, Records Technician, to function as a Deputy City Clerk.

DISCUSSION:

Pursuant to Section 704 of the City Charter, the City Clerk may, subject to the approval of the City Council, appoint deputies to act on his or her behalf. Sarah L. Fox has been appointed as a Records Technician in the City Clerk's Office and began employment on November 29, 2011.

PREPARED BY: Cynthia M. Rodriguez, City Clerk Services Manager

SUBMITTED BY: Marcelo A. López, Administrative Services Director

APPROVED BY: City Administrator's Office



Agenda Item No. _____

File Code No. 570.05

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012

TO: Mayor and Councilmembers

FROM: Parks Division, Parks and Recreation Department

SUBJECT: Agreement For Skofield Park Resident Caretaker

RECOMMENDATION:

That Council authorize the Parks and Recreation Director to execute a Caretaker Rental Agreement for Skofield Park with Steven Spencer through February 28, 2013.

DISCUSSION:

Background:

The Parks and Recreation Department administers two resident caretaker agreements in City parks; Skofield Park and Franceschi Park. Steven Spencer has been the resident caretaker at Skofield Park for the last 30 years.

The Department recommends approval of a one-year rental agreement with Steven Spencer, effective February 29, 2012, through February 28, 2013, for caretaker services at Skofield Park.

The proposed caretaker agreement is consistent with the provisions of the side letter agreement between the Santa Barbara City Employees Association, Local 620 Service Employees International Union, American Federation of Labor, Congress of Industrial Organization, and the City of Santa Barbara regarding compensation of resident parks caretakers. The side letter specifies the compensation and working terms for resident caretakers. The proposed caretaker agreement specifies the rental terms for the caretaker residence consistent with provisions of California Wage Order 4-2001 and the side letter agreement, which limit the amount of rent that the City may charge for the caretaker residences (currently \$381.20 per month).

The caretaker agreement and side letter agreement provide that the value of services performed by the Caretaker for the City by virtue of his presence at Skofield Park will serve as the in lieu payment of rent (\$381.20 per month) for the premises. Services identified in the side letter include:

- a. Opening and closing the park gates, custodial services in the park restrooms, park monitoring, and special event monitoring;
- b. Responding to security violations by observing and reporting incidents of fire, accidents, vandalism, illegal dumping, unauthorized camping, or other illegal or unauthorized activity;
- c. Protecting park property from damage and receiving comments and complaints from park users; and
- d. Maintaining a log of all time spent on caretaker services.

BUDGET/FINANCIAL INFORMATION:

No rent will be received as revenue, as tenant services are performed in lieu of rent. The caretaker will be compensated for services performed above the \$381.20 per month out of the existing Parks Division operating budget.

PREPARED BY: Santos M. Escobar, Parks Manager

SUBMITTED BY: Nancy L. Rapp, Parks and Recreation Director

APPROVED BY: City Administrator's Office



CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012
TO: Mayor and Councilmembers
FROM: City Clerk's Office, Administrative Services Department
SUBJECT: Update To Records Management Policies And Procedures Manual

RECOMMENDATION:

That Council adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Approving the City of Santa Barbara Records Management Policies and Procedures Manual, and Rescinding Resolution No. 09-098.

DISCUSSION:

The City's Records Management Policies and Procedures Manual was originally approved by Council in February 2003. This manual consists of a description of the City's Records Management Program; records retention and disposition schedules; and appendices listing legal authorities cited and legal research conducted during the preparation of retention and disposition schedules.

The Records Management Program includes a provision for each department's regular review of its records retention and disposition schedule. This review will disclose the need to make revisions to schedules, such as: 1) adding series for new records or forms; 2) changing the description of certain records series to better reflect the content of those series; 3) amending retention periods to correspond to department policy or federal requirements; and 4) deleting those records series for which the records are no longer retained. The exhibit to the resolution shows proposed revisions to 6 records retention and disposition schedules.

PREPARED BY: Cynthia M. Rodriguez, City Clerk Services Manager

SUBMITTED BY: Marcelo A. López, Administrative Services Director

APPROVED BY: City Administrator's Office

RESOLUTION NO.

A RESOLUTION OF THE COUNCIL OF THE CITY OF SANTA BARBARA APPROVING THE CITY OF SANTA BARBARA RECORDS MANAGEMENT POLICIES AND PROCEDURES MANUAL, AND RESCINDING RESOLUTION NO. 09-098

WHEREAS, the City's Records Management Program was established by Resolution No. 03-011, adopted on February 25, 2003;

WHEREAS, the Records Management Policies and Procedures Manual was updated by the City Council's adoption of Resolution No. 09-098 on December 15, 2009;

WHEREAS, the Records Management Program includes a records retention and disposition schedule for each City department listing the records series maintained by the department, the length of time each series should be retained, and direction for final disposition of each series; and

WHEREAS, the Records Management Program includes a provision for the regular review of records retention and disposition schedules to determine revisions necessary to: 1) accommodate newly-created records and forms; 2) reflect any changes resulting from implementation of new systems and procedures; and 3) delete those record categories for which the records are no longer retained in the office or in inactive storage.

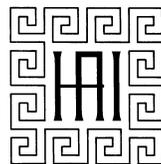
NOW, THEREFORE, BE IT RESOLVED BY THE COUNCIL OF THE CITY OF SANTA BARBARA AS FOLLOWS:

SECTION 1. The attached Exhibit, "City of Santa Barbara Records Management Policies and Procedures Manual," is approved.

SECTION 2. Resolution No. 09-098 is rescinded.

**CITY OF SANTA BARBARA
RECORDS MANAGEMENT
POLICIES AND PROCEDURES MANUAL**

**Approved by Resolution No. ~~09-098~~
Adopted on ~~December 15, 2009~~2012**



History Associates Incorporated
588 Explorer Street
Brea, California 92821

Prepared for the
City of Santa Barbara, CA

**CITY OF SANTA BARBARA
RECORDS MANAGEMENT POLICIES AND PROCEDURES MANUAL**

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Changes are being made to the Retention Schedules for these departments through this update to the Records Management Program.

1.1. MISSION STATEMENT

The goal of the City of Santa Barbara's records management program is to promote efficiency in the management of Santa Barbara City records. The records management program will provide for economical and efficient creation, organization, use, maintenance, and disposition of records. The City will assure the preservation of records with enduring or archival value and ensure the retirement and destruction of records with short-term value.

All Santa Barbara City offices are required to participate in the City's records management program detailed in this manual. This program is designed to comply with legal requirements thereby protecting City offices during litigation and audit. Failure to adhere to these requirements may result in the imposition of fines, penalties, and loss of rights in court proceedings or the loss of documentation required to justify actions and decisions.

The policies, procedures, and retention and disposition schedules in this manual apply to all record formats, except electronic records. The City's electronic records are not addressed in this manual and are excluded from the retention and disposition schedules. In order to insure compliance with legal retention requirements for electronic records, the City must survey and schedule their electronic records independently of the policy and procedures set forth in this manual.

1.2. OFFICIAL CITY RECORDS

Official records consist of all recorded information, created or received and maintained by the City in pursuit of its legal obligations or in the transaction of business. All records created and received in the normal course of business activities in Santa Barbara City departments are the property of the City of Santa Barbara.

Information gathered from other sources, such as outside publications, newspaper clippings, catalogs, professional and trade journals, and information copies of correspondence are considered reference files and not official records.

1.2.1. Record Copy

The record copy is the principal copy of any document. Throughout City departments, duplicate or information copies of the record copy may exist. Duplicates and information copies held in an office other than the office of record should be retained only as long as administratively valuable. However, they should never be retained longer than the record copy and, in most cases, should be retained for significantly less time than the record copy.

- **Records created by the City of Santa Barbara**

For most records created by Santa Barbara City departments, the record copy is retained by the originating office. For example, the record copy of outgoing correspondence is generally found in the office of origin.

The record copy of some records generated by Santa Barbara City departments is retained by the office that receives it because its purpose is not served until the record reaches another office. For example, time and attendance reports originate in all departments but are filed for record in the Finance Department. The recipient of official reports within the City of Santa Barbara is the office of record.

- **Records created outside the City of Santa Barbara**

The record copy of documents created or generated outside Santa Barbara City departments, such as incoming correspondence, is retained by the office that receives it.

1.2.2. Active Records

Active records are those records frequently referred to and used on a daily, weekly, or monthly basis. Active records remain in office areas when they receive frequent use. In time, their use will diminish and the records will become inactive.

1.2.3. Inactive Records

Some inactive records may be discarded as soon as they cease to be useful. These records should never be placed in storage. Many inactive records, however, are required

to be retained for legal, fiscal, or administrative purposes. For this reason, the records are moved from expensive office space to low-cost storage when they become inactive. They are retained in storage until their retention periods expire, when records of short-term value are destroyed.

1.2.4. Permanent Records

A small percentage of records have permanent value. Permanent records are those records that have enduring administrative, evidential, legal, fiscal, or historical value. Permanent records should be sent to storage when they become inactive.

1.3. RECORDS RETENTION AND DISPOSITION SCHEDULES

Records retention and disposition schedules are comprehensive listings of records created or maintained for record by an institution. Schedules list the length of time each record should be retained (retention period) and provide direction on its final disposition.

Implementation of records retention and disposition schedules should be suspended when records are involved in litigation or potential litigation (e.g., when Human Resources suspects a former employee may file suit). The City Attorney must be consulted concerning the disposition of these records.

1.3.1. Retention Periods

Retention periods are based on an office's need for a document, duplication of information elsewhere, archival value, and legal and fiscal guidelines. Retention periods also provide guidance in the periodic removal of inactive records (i.e., retirement) from office areas to records storage areas.

The majority of retention periods in this manual apply to the record copy of a document. In certain cases, however, a retention period applies to a department's duplicate or information copy which is necessary to the operation of a particular department. These copies are identified in the schedules as department copies.

1.3.2. Records Retention and Disposition Schedules in Part 2 of this Manual

- The first schedule contains retention and disposition guidelines for records common to most offices (i.e., office administrative files and general program correspondence files). **This Schedule should be used by all offices.**
- The remaining schedules contain retention and disposition guidelines for records created or maintained by individual departments or divisions.

1.3.3. Review of Records Retention and Disposition Schedules

Each department should review its records retention and disposition schedule biennially to ensure that it is current. Schedules should be revised to accommodate newly created records and forms, and reflect any changes resulting from implementation of new systems and procedures. Obsolete record categories should be deleted when the records are no longer retained in the office or in inactive storage.

1.3.4. Recommendations for Schedule Changes

Staff should also consider whether retention periods are adequate and are being followed. Changes in retention periods are recommended only when the need is clearly indicated and justified. Requests to add, delete, or change records retention and disposition schedules should be made when biennial reviews disclose:

- Record is not covered by the schedules.
- Record should be deleted from the schedules because it is no longer being created or maintained.
- Retention period needs to be changed.

1.3.5. Submission of Proposed Schedule Changes

Requests for schedule changes should be submitted to the City Clerk Services Manager who will then present them to the City Attorney for review and approval by the City Council. Recommendations should contain the following information:

- Organizational department(s) maintaining the records.

- A clear and meaningful description of the records, including the purpose for which the records were created; their relationship to the program activities of the department creating them; and their relationship to other records, including duplication elsewhere in content or in substance.
- A proposed period of retention no longer than necessary to satisfy normal administrative, historical, legal, and fiscal requirements, with full justification for the new retention period.

1.4. RECORDS DISPOSITION

Records disposition refers to the retirement, transfer, destruction, or permanent retention of records. Records disposition is based on the content of the records and not necessarily on the format (i.e., paper, microform, or electronic). Permanent records should be retained in their original format or in microform format only. Records should be digitized for access purposes only. They are generally not considered permanent records. Always retain a record in its original format or as a microform copy, rather than a digitized copy.

1.4.1. Retirement of Records

Records are considered "retired" when they are sent to the records center for temporary storage, servicing, and ultimate destruction or sent for permanent retention. Records with a retention period longer than three years are eligible for retirement to the records center. Records with a retention period of less than three years should remain in the office until the retention period expires and should then be destroyed.

Prior to retirement, records should be purged of routine, duplicate, and published material. Rubber bands, large paper clips, and other bulky binders should be removed. Large documents requiring binders should be placed in a separate folder and labeled for easy access.

Each type of record listed on the records retention schedule should be placed in a separate box in the department's designated records center storage area. Optimally, boxes should be full or nearly full. Records not on the approved records schedule are not eligible for retirement in records center storage.

When preparing records for retirement, standard-sized record storage boxes (one cubic foot) must be used to store the records, unless otherwise approved by the City Clerk Services Manager. Boxes should be clearly labeled with the department/office of origin, record title as listed on the records schedule, alphabetical or numerical sequence of files (if applicable), date span, destruction date, name of sender, and individual box number of the total sequence of boxes in a record series (i.e., Invoices, Box 2 of 6). A file folder inventory of contents must be inserted in the front of the box. Each department is also required to retain a duplicate of all their file folder inventories in their office.

1.4.2. Transfer of Records

Disposition includes the transfer or a change of custody of records from one department to another. The City Clerk Services Manager should be notified when records are transferred to another department.

1.4.3. Destruction of Records

The destruction of records involves the physical destruction of the record itself. Records authorized for destruction in Part 2 of this manual should be recycled or placed in wastebaskets or dumpsters. Records consisting of magnetic or comparable media should be erased and reused. However, if the records are confidential (i.e., personnel files) they must be shredded prior to disposal.

Records listed in the records retention and disposition schedules may not be destroyed without City Council approval, unless otherwise provided by law, provided the department director submits the request for records destruction to the City Clerk Services Manager. The City Clerk Services Manager will obtain concurrence from the City Attorney to ensure the retention of records involved in foreseeable, pending, or actual

litigation.

1.4.4. Permanent Retention

Records are retained permanently when they are considered to have enduring administrative, legal, evidential, or historical value.

1.5. FILES MANAGEMENT

Files management is an important component of records management and involves the arrangement of documents in an orderly manner so that they can be located easily and quickly. This also refers to the efficient management of documents within files so that City departments do not waste file space on unnecessary documents.

1.5.1. Appraisal Guidelines

The following guidelines for appraisal are provided to facilitate the regular destruction of unnecessary records and the retirement of documents.

RETAIN:

- Official file copies that provide information on the organization, function, policy, procedures, or operation of the department.
- Material that documents the mission of the department.
- Lists of records that are transferred to storage.
- Backups of all electronic records, especially when a paper copy is not retained.

DISCARD ACCORDING TO SCHEDULE:

- Duplicate copies maintained in addition to the official file copy (i.e., purchase orders or expense vouchers).
- Courtesy letters and routine transmittal letters.
- Notices of routine departmental meetings.
- Convenience, tickler, or reader files.
- Outdated reference material.
- Obsolete publications, circulars, or blank forms.
- Surplus copies of publications.

SEPARATE:

- Housekeeping records (general administrative and financial operating records such as budgets, travel expenses, personnel files and all material filed for record elsewhere) from your program records.
- Personal files from official files.

1.5.2. File Types

- **General correspondence or subject files.** These files contain program records that are arranged by subject.
- **Transitory correspondence.** These files contain routine requests for information, letters of transmittal, and notices of routine departmental meetings.
- **Case files or project files.** These files contain material related to a specific action, event, person, organization, location, or project. Case files are usually arranged by name or number.
- **Technical and reference material.** Includes such material as printed reports, periodicals, catalogs, and manuals.
- **Administrative files.** These files contain departmental and/or personal copies of expense reports, purchase orders, and personnel files that are filed for record elsewhere.

To facilitate retirement of records, program records should be filed separately from transitory correspondence, administrative records, and reference material. Additionally, documents of a private or unofficial character pertaining to an individual's personal affairs should be clearly designated as personal and should at all times be filed separately from official records of the City.

1.5.3. Files Cutoff

Files "cutoff" is the termination of files at regular intervals to permit their transfer, retirement, or destruction in complete file blocks. Files must be regularly cut off at the end of a specified time or an event and a new file must be established.

Establishment of periodic cutoff of files is essential in controlling record accumulations and facilitating economical disposition in convenient blocks. At least annually, file custodians should cut off files and segregate inactive files from active files; dispose of files eligible for retirement or destruction; and destroy all non-current reference material.

Cutting off files is important because it allows the file custodian to control the size of the folders. If not cut off periodically, folder contents will grow until individual papers become difficult to find. If the files are cut off periodically, older files can be progressively moved from active file space to storage space as their reference activity declines. Cutoff standards are based on the following criteria for the various types of records:

- **Chronologically Sequenced Files.** These files include accounting records, are filed by period of account (fiscal year), and can be readily cut off and retired in convenient annual blocks.
- **Subject Files.** These files should be cut off at planned intervals; there is no natural cutoff as with case files or chronologically arranged records. Subject files should be maintained on a calendar or fiscal year basis. Subject files without an annual cutoff, containing many different types of records (i.e., correspondence mixed with accounting files, reference files, and other types of records) are commonly used in many City departments. The mixture of records with differing retention periods and the lack of a chronological cutoff date makes these files difficult to retire.
- **Case or Project Files.** These files are often cut off upon the termination of a transaction or expiration of an event, such as termination of personnel, final contract payment, or completion of a project. When closed, the case file should be marked with the date of closing and placed in an inactive file apart from the active files. The inactive files can then be retired or destroyed in convenient calendar or fiscal year blocks. Case files that continue over a long span of years can be cut off by setting up a new folder each year and retiring the folders of the prior year which have little reference activity.

- **Reference Materials.** These files have no established cutoff and should be destroyed when they are superseded, obsolete, or no longer needed. These files should be reviewed at least annually to determine if they are current and still useful. Reference files are not official records and should never be sent to inactive records storage.

1.5.4. General Housekeeping

- **Removal of rubber bands and fasteners.** Prior to filing documents or folders, rubber bands and fasteners should be removed and replaced with staples, if needed. Paper clips are especially troublesome since they add to the bulk of the files, slip off, and catch on other documents.
- **File Drawers and Boxes.** In order to ensure efficient file retrieval, overcrowded file drawers and boxes should be avoided as this encourages tearing of documents, loss of adhesive file labels, and diminished visibility of file labels.
- **Charge-out System.** A file charge-out system should be utilized in order to control the occurrence of misfiles and allow for easier and faster refiling. A charge-out slip should be placed in the location that the file was removed in order to assist the records custodian in refiling folders upon return. The charge-out slip should include employee name and the date of removal in order to assist the records custodian in tracking the location of files that have been removed from file drawers or boxes.

1.6. VITAL RECORDS

A vital record is the recorded information needed by the City of Santa Barbara to:

- Continue operations under crisis or emergency conditions and resume operations after a disaster.
- Recreate the City's legal and financial status.
- Protect the rights and interests of its personnel and constituents.

Emergency plans and any records that must be presented as evidence to owners, creditors, debtors, and governments are vital records. These are records of ownership interest, legal status, party to a contract, and employment. In the event of disaster, vital records are needed to collect outstanding receivables; protect the City against unjust claims; comply with regulations; and minimize interruption of operations.

Records which change frequently are vital only as long as they are current. Records that are currently vital and essential may be superseded and thus not vital after a period of time. Financial records and contracts fall into this category. Other records, such as articles of incorporation which establish legal status, are both permanent and vital.

Current vital records are identified in the records schedules. However, identification of vital records is an ongoing process and should be considered when schedules are reviewed and revised.

At present, the City of Santa Barbara vital records are decentralized throughout the organization. The identification of vital records in this manual is the first step in the development of a vital records program.

1.7. Staff Responsibilities

1.7.1. City Clerk Services Manager

The City Clerk Services Manager administers the City of Santa Barbara records management program. This responsibility includes the following functions:

- Planning, formulating, and recommending basic records disposition policies, system standards, and procedures.
- Coordinating the overall records management program and evaluating program effectiveness.
- Providing advice and assistance to all organizational levels.
- Analyzing, developing, coordinating, and implementing records disposition procedures, including those prescribed in this manual, to meet the operational needs of the City of Santa Barbara.

- Supervising records center operations.

1.7.2. Department Director

The Director of each City department is responsible for the implementation and operation of an effective records management program in accordance with the standards and procedures in this manual within his/her area of responsibility. They must approve all changes in their records retention and disposition schedules.

The department director must submit the request for records destruction to the City Clerk Services Manager. The City Clerk Services Manager will obtain concurrence from the City Attorney to ensure the retention of records involved in foreseeable, pending, or actual litigation.

1.7.3. Records Coordinator

A records coordinator for each department, division, or office must be appointed by its department director. Coordinators are responsible for the establishment, maintenance, and operation of files within their departments in conformity with the standards and procedures in this manual. This responsibility includes:

- Insuring ongoing implementation of records retention schedules.
- Selecting, organizing, packing, labeling, and listing of records sent to storage.
- Reviewing departmental schedules for currency and submitting proposed changes to the City Clerk Services Manager who will then present them to the City Attorney for review and approval by the City Council.
- Submitting the request for records destruction to the City Clerk Services Manager. The City Clerk Services Manager will obtain concurrence from the City Attorney to ensure the retention of records involved in foreseeable, pending, or actual litigation.

1.8. DEFINITIONS

Active Records. Records frequently referred to and used on a daily, weekly, or monthly basis.

Administrative Records. Records relating to office operations such as travel and time and attendance.

Case Files. Material related to a specific action, event, person, organization, location, or project. Also known as project files.

Chronological Files. Material filed in chronological order.

Files Custodian. Individual responsible for maintaining a particular file in an office.

Files Cutoff. The termination of files at regular intervals to permit their transfer, retirement, or destruction in complete file blocks.

Files Management. The orderly arrangement and maintenance of records in office areas.

Files Termination. Ending, closing, or cutting off a file at regular intervals such as at the conclusion of a fiscal or calendar year, project, event, or program.

Inactive Records. Records infrequently referred to, generally used less than once a month.

Information Files. Unofficial copies of documents kept for convenience or reference, stocks of publications, and other material intended solely for reference. Also known as reference, convenience, or reader files.

Non-current Records. Records no longer required in the conduct of active business.

Office of Record. Office which maintains the record copy of a City of Santa Barbara document.

Official Records. Records created by or received and maintained by the City of Santa Barbara in pursuit of its legal obligations or in the transaction of business. Reference files are not official records.

Permanent Records. The non-current records of the City of Santa Barbara preserved because of their permanent value.

Program Records. Records relating to the mission or function of an office.

Record Copy. The record copy is the principal copy of any letter or document.

Records. Records generally consist of all recorded information, regardless of media or characteristics. Records are created in a variety of physical formats including paper, and photographic and electronic media.

Records Coordinator. Individual identified in a particular office as responsible for implementation of the records management program in that office.

Records Disposition. Actions taken when a record becomes inactive. Such actions include transfer to an archives, storage in a records storage facility, or destruction.

Records Manager. Individual within the City of Santa Barbara assigned the responsibility of administering the records management program. The City of Santa Barbara's records manager is the City Clerk Services Manager.

Records Retirement. Removal of an inactive record from an office and movement to a storage facility for permanent or short-term retention.

Records with Short-term Value. Records which do not have permanent value but require retention for a period of time for legal, fiscal, or administrative reasons.

Retention Period. The period of time for which records must be retained before they may be recycled or destroyed.

Subject Files. Material filed by subject, usually in alphabetical order.

Transitory Records. Records which do not have value beyond the immediate purpose for which the document is created, such as transmittals and routine meeting notices.

Vital Records. Records that are essential to resume or continue operations; records necessary to recreate the City of Santa Barbara's legal and financial position; and records necessary to preserve the rights of its personnel and residents.

CITY OF SANTA BARBARA, CA RECORDS COMMON TO MOST OFFICES

THE RECOMMENDED RETENTION PERIODS IN THESE SCHEDULES APPLY TO RECORDS SERIES MAINTAINED IN GOVERNMENTAL OFFICES IN THE CITY OF SANTA BARBARA, CALIFORNIA (THE CITY). THE FIRST SCHEDULE COVERS RECORDS WHICH ARE NOT UNIQUE TO A PARTICULAR OFFICE AND ARE FOUND IN MANY OFFICES THROUGHOUT THE CITY. THE REMAINING SCHEDULES PERTAIN TO THE PROGRAM RECORDS FOR EACH CITY DEPARTMENT OR DIVISION. EACH ENTRY BELOW CONSTITUTES A SEPARATE RECORDS SERIES WITH A PARTICULAR RETENTION PERIOD AND DISPOSITION INSTRUCTIONS. SCHEDULES ALSO IDENTIFY THE CITY'S VITAL RECORDS. A LIST OF DEFINITIONS FOR TERMS USED THROUGHOUT IS ATTACHED. IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

1. Affidavits of Publication of Ordinances and Legal Notices

Notarized certificates and newspaper clippings attesting to the publication of legal notices.

- (a) Publication of Ordinances. **Disposition:** *Permanent; photocopy clipping and retain with certificates.* (California Government Code (GC) 40806)
- (b) All others. **Disposition:** *Place with related project file and dispose of accordingly. If no project file exists, retain 3 years.* (GC 34090.7)

2. Agendas

Posted agendas and notices for meetings of the City Council. Record copy is in the Administrative Services Department, City Clerk's Office.

- (a) Record copy in the City Clerk's Office. **Disposition:** *Retain one copy permanently.*
- (b) All other copies. **Disposition:** *Discard after meeting.*

3. Audiovisual Materials

- (a) Audio or video recordings of meetings.
 - (1) Audio or video recordings for which no written minutes are prepared. **Disposition:** *Permanent.*
 - (2) Audio or video recordings for which official written minutes are prepared. **Disposition:** *May erase/discard after 30 days (GC 54953.5), but retain no longer than 2 years.*
- (b) Promotional and public relations tapes concerning Santa Barbara. **Disposition:** *May erase/discard after 2 years.*

- (c) Motivational and training audiotapes purchased for use by City personnel. **Disposition:** *Retain as long as administratively needed.*

4. Bids and Proposals, Bid Awards

- (a) Successful and unsuccessful bids and proposals for awards and contracts under \$25,000.00. Record copy is in Finance Department, General Services Division. **Disposition:** *Retain 1 year after opening of bids or ordering of products/services. (Santa Barbara Municipal Code (SBMC) 4.52.040)*
- (b) Successful bids and proposals for awards and contracts over \$25,000.00.
- (1) Record copy is in Finance Department, General Services Division. **Disposition:** *Discard 10 years after completion of project. (California Code of Civil Procedure (CCP) 337.15)*
- (2) Departmental copies. **Disposition:** *Retain with related bid award or contract file and dispose of accordingly.*
- (c) Unsuccessful bids and proposals for awards and contracts over \$25,000.00. **Disposition:** *Discard after 5 years. (GC 26202.1)*
- (d) Unopened Bids. **Disposition:** *Return to bidder after award.*

5. Budget working papers

Records created and used in the preparation of the annual budget, including departmental requests and budget submittal packets, estimates, spreadsheets, handwritten notes, and related correspondence and memoranda. Record copies are in Finance Department.

- (a) Record copy in the Finance Department. **Disposition:** *Retain 3 years after the fiscal year to which the records relate, per Finance Department policy. (GC 34090)*
- (b) All other copies. **Disposition:** *Discard after 2 years, per Finance Department policy. (GC 34090.7)*

6. Calendars

Desk calendars and notebooks maintained by city staff. **Disposition:** *Retain 1 year.*

7. Complaints

- (a) Original complaints received from citizens concerning city government, services, and ordinances which lists name, address, phone number, location ~~of complaint, and~~ nature of complaint, responsible department, and steps taken. Excludes those that become part of a subsequent Board of Appeals, Adjustment, or Planning case file; pertain to emergency response; or relate to environmental violations. **Disposition:** *Retain 2 years after complaint is resolved. (GC 34090)*

- (b) Complaints that become part of a subsequent Board of Appeals, Adjustment, or Planning case file.
 - (1) Record copy in the City/County Planning Office. **Disposition:** *Retain with related case file and dispose of accordingly.*
 - (2) All other copies. **Disposition:** *Retain for 2 years.* (GC 34090.7)
- (c) Complaints relating to environmental violations.
 - (1) Record copy in the Public Works Department, Engineering Division, Environmental Programs Section. Current files are vital records. **Disposition:** *Discard 5 years after final action.* (California Public Utilities Commission (CA PUC ~~Res.~~) Resolution #A-4691 and GC 25105.5)
 - (2) All other copies. **Disposition:** *Retain 2 years.* (GC 34090.7)
- (d) Complaints relating to city improvements.
 - (1) Record copy in the Public Works Department, Streets, Parking, and Transportation Operations Divisions. **Disposition:** *Discard 10 years after the complaint is resolved.* (CCP 337.15)
 - (2) All other copies. **Disposition:** *Retain 2 years.* (GC 34090.7)

8. Contracts and Agreements

This file includes contracts and agreements and related procurement records including legal notices, affidavits of publication, certificates of insurance, surety bonds, requests for proposals, proposals, technical specifications, reports, correspondence, and similar records relating to the negotiation, administration, renewal, and termination of contracts, and agreements to which the City is a party.

- (a) Contracts and agreements approved by the City Council.
 - (1) Record copy is in Administrative Services Department, City Clerk's Office. **Disposition:** *Retain 15 years after termination or completion and final payment.* (CCP 337.15)
 - (2) All other copies. **Disposition:** *Discard upon termination or completion and final payment.*
- (b) Contracts and agreements not requiring City Council approval.
 - (1) Record copy is in originating department. **Disposition:** *Retain until termination or completion and final payment plus 5 years.* (41 CFR 105-71.142 and California Government Code (GC) 34090)
 - (2) All other copies. **Disposition:** *Discard upon termination or completion and final payment.*
- (c) Routine procurement records including legal notices, affidavits of publication, certificates of insurance, surety bonds, requests for proposals, proposals, technical specifications, reports, correspondence, and similar records relating to the negotiation, administration,

renewal, and termination of contracts and agreements to which the City is a party. Active records are vital.

- (1) Procurement records related to contracts and agreements approved by the City Council.
 - (a) Record copies are retained with record copy of contract or agreement in Administrative Services Department, City Clerk's Office. **Disposition:** *Retain 15 years after termination or completion and final payment.* (CCP 337.15)
 - (b) All other copies. **Disposition:** *Discard upon termination or completion and final payment.*

- (2) Procurement records related to contracts and agreements not requiring City Council approval.
 - (a) Record copies are retained in originating department. **Disposition:** *Retain until termination or completion and final payment plus 5 years.* (41 CFR 105-71.142 and GC 34090)
 - (b) All other copies. **Disposition:** *Discard upon termination or completion and final payment.*

9. Correspondence

- (a) Program and Policy Correspondence. Incoming and outgoing letters and memoranda pertaining to the formulation, planning, and implementation of the mission, policies, programs, operations, and projects of a City department, division, or office. Program and policy correspondence is generally maintained in the office of the department or division director. **Disposition:** *Permanent*

- (b) Routine Correspondence. Incoming and outgoing letters pertaining to the normal and routine administrative functions of a City department, division, or office. Consists of correspondence providing general information, replying to complaints and requests for information, referring inquiries elsewhere, forwarding materials, acknowledging incoming letters, making arrangements for routine meetings or other events, and similar matters of minor administrative character which contain no substantive information. **Disposition:** *Discard after 2 years.* (GC 34090)

- (c) Transitory Correspondence. Requests for information and copies of replies thereto involving no administrative actions, no policy decisions, and no special compilations or research, and requests for and transmittal of publications, photographs, and other informational literature. Also letters of transmittal and thanks. **Disposition:** *Retain in office 1 year, then discard.*

10. Council Packets

Material assembled and distributed to Council-members containing documents pertaining to a Council meeting as well as informational material.

- (a) Record copy in the Administrative Services Department, City Clerk's Office.

Disposition: *Permanent*

- (b) All other copies. **Disposition:** *Discard after City Council meeting to which the package pertains.*

11. Credit Card Transaction Records

Records document credit card transactions for payment of fees, service charges, and fines. Records include individual signed or unsigned credit card transaction slips, detailed reports of itemized charges to customers for a specific time period (e.g., daily or monthly), and summary transaction reports. **Disposition:** *Retain for 18 months, then destroy (shred). Destruction is to occur on an annual basis on a date set by the department, with certification of annual destruction sent to Finance Department for PCI compliance files.*

12. Equipment Records

Original operating instruction booklets, service agreements, warranty information, replacement part information, technical reference booklets, purchasing information, and owners manuals which document the use and maintenance of equipment purchased by a City office. **Disposition:** *Retain for life of the equipment, as needed for reference.*

13. Financial Files

Files relating to the expenditure of funds, such as receipts and receipt stubs, purchase orders, invoices, and vouchers, except those for the payment of taxes, special assessments, utility deposits, and any receipts noted elsewhere in these schedules. Record copies are in Finance Department.

- (a) Record copy in the Finance Department. **Disposition:** *Retain 7 years after end of fiscal year to which the records relate. (26 Code of Federal Regulations (CFR) §1.6001-1 and California Code of Regulations (CCR) §19141.6)*

- (b) All other copies. **Disposition:** *Retain for 3 years in City departments that operate on a three-year budget cycle; otherwise, retain for 2 years (GC 34090.7);.*

14. General Administrative Files

Records relating to the internal management or general administration of a department rather than to the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of reports and correspondence officially filed elsewhere, copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels), and other materials that do not

serve as unique documentation of the programs of the office. **Disposition:** *Discard when 2 years old or sooner if purpose is served.*

15. Insurance Policies

Liability, theft, fire, accident, health, life, and other policies for City property and personnel, including supporting documentation regarding implementation, modification, or replacement of policies. Record copy is in the Finance Department, Risk Management Office, or Administrative Services Department, Human Resources Office.

- (a) Record copy in the Finance Department, Risk Management Office, or Administrative Services Department, Human Resources Office. **Disposition:** *Permanent.* (CCP 337 and California Insurance Code (CIC) 10508.5)
- (b) All other copies. **Disposition:** *Discard when policy expires or is superseded.*

16. Leases

Legal instruments, signed leases, correspondence, memoranda, and other records pertaining to the negotiation, administration, renewal, and termination of a lease to which the City is a party.

- (a) Leases approved by the City Council and associated documents.
 - (1) Record copy of leases approved by the City Council and associated documents is in Administrative Services Department, City Clerk's Office. **Disposition:** *Retain for life of lease plus 4 years; then discard.* (CCP 337.2)
 - (2) All other copies of leases approved by the City Council and associated documents. **Disposition:** *Retain for life of lease plus 2 years; then discard.* (GC 34090.7)
- (b) Leases not requiring City Council approval and associated documents.
 - (1) Record copy of leases not requiring City Council approval and associated documents is in originating department. **Disposition:** *Retain for life of lease plus 4 years; then discard.* (CCP 337.2)
 - (2) All other copies of leases not requiring City Council approval and associated documents. **Disposition:** *Retain for life of lease plus 2 years; then discard.* (GC 34090.7)

17. Master Plans

Master plans and comprehensive plans developed by City departments and divisions. Forward one copy to the City Clerk, who maintains the City's record copy. (Santa Barbara Municipal Code (SBMC) 16-104)

- (a) ~~Record copy in City Clerk's Office maintains City's record copy.~~ **Disposition:** *Permanent*
- (b) Library use copies. **Disposition:** *Permanent* (GC 50115)

- (c) Departmental record copy maintained by originating department. **Disposition:** *Retain 25 years.*
- (d) All other copies. **Disposition:** *Discard when no longer needed for reference.*

18. Membership in Associations, Societies, and Committees

- (a) Records documenting participation ~~by City Staff on~~ external governmental and professional committees ~~in which Santa Barbara staff are members~~ in their official capacity as City representatives.
 - (1) Official copies of committee records such as meeting minutes, declarations, newsletters, speeches, correspondence. **Disposition:** *Permanent*
 - (2) Background information, correspondence of minor administrative character, and drafts. **Disposition:** *Discard when 5 years old or when no longer needed for reference, whichever is sooner.* (GC 34090)
- (b) Records documenting membership of Santa Barbara staff in professional organizations, ~~however,~~ not in an official capacity as a City representative. Includes correspondence, copies of speeches, newsletters, copies of minutes, and miscellaneous materials. ~~These records do not reflect official City positions.~~ If membership is paid for with City funds, ~~then~~ these are City records. ~~;~~ If membership is paid for by employee, they are personal papers, ~~not City records.~~ **Disposition:** *Discard when 3 years old or when no longer needed for reference, whichever is sooner.* (GC 34090)

19. Personnel Files

Unofficial personnel folders for both temporary and permanent employees, maintained by departments and consisting of documents which are duplicates of papers placed in official personnel folders.

- (a) Departmental copies. **Disposition:** *Discard after separation, transfer, or termination of employee.*
- (b) Official personnel folder is in Administrative Services Department, Human Resources Division. This is a vital record. **Disposition:** *Retain 25 years after termination or separation of employee.* (29 CFR 1627.3 and GC 12946)

20. Personnel Recruitment Files

- (a) Records of job classifications and other terms and conditions of city employment. **Disposition:** *Discard after 3 years.* (California Labor Code 1197.5)

- (b) Resumes of prospective employees and personnel recruitment material.
 - (1) Materials of unsuccessful applicants. **Disposition:** *Discard 3 years after receipt.* (GC 12946)
 - (2) Materials of applicants who are hired. **Disposition:** *Retain in employee personnel file. See item ~~1819~~, Personnel Files, for explanation.*

21. Policy and Procedure Files

Consists of manuals, directives, handbooks, and other formal policy and procedural issuances.

- (a) Formal issuances created by department or division for which the policy or procedure is a program function.
 - (1) Master set. **Disposition:** *Permanent*
 - (2) Use copies and extra copies. **Disposition:** *Retain until superseded.*
- (b) Copies of City operating policies and procedures used for reference. **Disposition:** *Discard when obsolete or superseded.*

22. Publications

- (a) City Publications approved by the City Council or by City commissions, boards, and committees. ~~City~~ These publications, ~~including~~ include, but are not limited to, annual reports, codification of ordinances, administrative codes, codes of regulatory commissions, publications issued by a special authority such as a housing, transit, or water district, etc. Also included are research papers created on behalf of or for the use of the City and addressing topics such as urban and regional land use, planning, zoning, air and water pollution, transportation, public utilities, urban geography, surveying, and mapping, and semiofficial publications such as city planning reports prepared by a commercial firm, or in partnership or consultation with, any City planning agency.

Originating department forwards four copies to the City Clerk's Office, which sends one copy to the California State Library, ~~one~~ one copy to the Institute of Governmental Studies of the University of California, Berkeley, ~~and~~ and one copy to the Public Affairs Service of the University of California, Los Angeles, to be preserved for reference use in those institutions. (GC 50110 and 50115)

- (1) City Clerk's Office maintains City's record copy. **Disposition:** *Permanent*
- (2) Library use copies. **Disposition:** *Permanent* (GC 50115)
- (3) Departmental record copy maintained by originating department. **Disposition:** *Retain 25 years.*
- (4) All other copies. **Disposition:** *Discard when no longer needed for reference.*
- (b) Reference Publications. Copies of internal or external publications maintained for reference. **Disposition:** *Discard when obsolete or no longer needed.*

23. Purchase Orders

See item ~~4213~~, Financial Files, for explanation.

- (a) Record copy is in the Finance Department. **Disposition:** *Retain 7 years after end of fiscal year to which the records relate.* (26 CFR1.6001-1 and CCR §19141.6)
- (b) All other copies. **Disposition:** *Retain for 3 years in City departments that operate on a three-year budget cycle; otherwise, retain for 2 years* (GC 34090.7).

24. Reading or Chronological Files

Copies of correspondence and other papers maintained by the originating department and used solely as a reading or reference file for convenience. **Disposition:** *Retain for 2 years.* (GC 34090)

25. Records Retention and Disposition Schedules

- (a) Record copy is in the Administrative Services Department, City Clerk's Office.
Disposition: *Permanent*
- (b) Departmental use copies. **Disposition:** *Retain until superseded.*

26. Reports and Studies

- (a) Reports and Studies approved by the City Council or by City commissions, boards, and committees. Reports and studies commissioned by ~~or conducted by~~ the City, funded by City monies, and pertaining to City facilities, operations, and services. Studies-These documents and reports are usually performed-prepared by City staff and/or by consultants working under the supervision of a City department. ~~Also includes studies and surveys commissioned by the City, those~~ in which the City is a participant, or ~~those~~ which affect the City. ~~Some, but not all, are conducted under the supervision of a City department.~~ Also includes research papers created on behalf of, or for the use of the City and addressing topics such as urban and regional land use, planning, zoning, air and water pollution, transportation, public utilities, urban geography, surveying, and mapping, and semiofficial publications such as city planning reports prepared by a commercial firm, or in partnership or consultation with any City planning agency.

Originating department forwards four copies to the City Clerk's Office, which sends one copy to the California State Library, one copy to the Institute of Governmental Studies of the University of California, Berkeley, and one copy to the Public Affairs Service of the University of California, Los Angeles, to be preserved for reference use in those institutions. (GC 50110 and 50115)

- (1) City Clerk's Office maintains City's record copy. **Disposition:** *Permanent*

- (2) Library use copies. **Disposition:** *Permanent* (GC 50115)
 - (3) Departmental record copy maintained by originating department. **Disposition:** *Retain 25 years.*
 - (4) All other copies. **Disposition:** *Discard when no longer needed for reference.* (GC 34090.7)
- (b) Internal Reports and Studies. Reports, studies, surveys, and analyses conducted or commissioned by City departments for internal information or planning purposes, and not transferred to the City Clerk's Office.
- (1) Final report. Record copy maintained by originating department. **Disposition:** *Discard when 10 years old, unless listed otherwise in the City schedules.*
 - (2) All backup data and documentation necessary to support final report's validity. **Disposition:** *Discard 2 years after completion of survey document, unless listed otherwise elsewhere in the City schedules.*
 - (3) Working files, including drafts, notes, and reference materials. **Disposition:** *Discard 1 year after completion of survey document, unless listed otherwise elsewhere in the City schedules.*

27. Staff Working Papers

Reference files and duplicate copies of documents accumulated during preparation of a report or work on a project. **Disposition:** *Retain 1 year after completion of report or project, or discard sooner if no longer needed for reference.*

28. Subject Files

Subject files consisting of a mix of administrative and technical material, the value of which varies depending on the organizational level at which they are created and the purpose they serve.

- (a) Subject Files of Department and Division Heads. Files arranged by subject relating to the projects, administration, and procedures maintained by City department and division heads.
- (1) Organizational and Project Files. Files containing administrative directives, policy studies and reports, formal memoranda, reports of special advisory committees and task forces, and similar records documenting the formulation and implementation of projects, policies, programs, and operations of any City office. **Disposition:** *Permanent*
 - (2) Administrative Procedural Files. Administrative announcements, routine correspondence and memoranda, statements, reports, and other records of City offices pertaining to office procedures and distributed within the department or among City offices. **Disposition:** *Retain in office 5 years or when superseded.* (GC 34090)
- (b) Staff Subject Files. Documents generated by City department and division offices in the course of routine office administrative functions have short-term value. These records include correspondence, and general information about city activities and programs,

budget and appropriations, training, legislation, and associations and societies.

Disposition: *Transfer to storage when 1 year old. Discard when 3 years old.* (GC 34090)

29. Telephone Messages

Telephone messages and notes recording name of caller, date, time, and message. Maintained both in paper and electronic format. **Disposition:** *Discard when message is relayed.*

30. Time Sheets

Current time sheets are a vital record. Record copy is located in the Finance Department.

- (a) Record copy in the Finance Department. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1, 29 CFR 516.5, CCR §19141.6, and California Labor Code 1174)
- (b) All other copies. **Disposition:** *Discard when 2 years old or when no longer needed for reference, whichever is sooner.* (GC 34090.7)

31. Training Records

- (a) Departmental correspondence, memoranda, reports, and other records pertaining to the availability of training and employee participation in training programs sponsored by other government or non-government agencies. **Disposition:** *Discard when 5 years old or when superseded or obsolete, whichever is sooner.*
- (b) Certificates of completion, certificates of passing of training requirements, and other documentation of successful training completion retained by City departments. Includes test scores of on final tests taken by employee. **Disposition:** *Discard after separation, transfer, or termination of employee.*

32. Travel Expense Records

Records relating to the expenditure of funds for travel. Record copy is kept by the originating department. **Disposition:** *Retain 7 years after end of fiscal year to which the records relate.* (26 CFR 1.6001-1 and CCR §19141.6)

DEFINITIONS

Active Records. Records frequently referred to and used on a daily, weekly, or monthly basis.

Administrative Records. Records relating to office operations such as travel and time and attendance.

Case Files. Material related to a specific action, event, person, organization, location, or project. Also known as project files.

Inactive Records. Records infrequently referred to, generally used less than once every three months.

Noncurrent Records. Records no longer required in the conduct of active business.

Office of Record. Office which maintains the record copy of a document for the City of Santa Barbara.

Program Records. Records relating to the mission or the unique, substantive functions of an office.

Project Files. Material related to a specific action, event, person, organization, location, or project. Also known as case files.

Reading Files. Material such as correspondence and reference materials filed in chronological order, generally used for reference and convenience.

Records. Records include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of form or physical characteristics, made or received by the City of Santa Barbara in connection with the transaction of City business as evidence of the City's functions, policies, decisions, procedures, operations, or other activities or because of the informational value of data in them.

Record Copy. The record copy is the principal copy of any letter or document. Also referred to as the official file copy.

Records Series. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, resulting from the same activity, or take a particular form.

Retention Period. The period of time records must be kept before they may be disposed of or discarded.

Subject Files. Material filed by subject, usually in alphabetical order.

Transitory Records. Records which do not have value beyond the immediate purpose for which the document is created, such as transmittals and meeting notices.

Vital Records. Records that are essential to resume or continue operations during and after an emergency; records necessary to recreate the City's legal and financial position; and records necessary to preserve the rights and interests of the City, its employees, residents, and other individuals directly affected by the City's activities.

CITY OF SANTA BARBARA, CA ADMINISTRATIVE SERVICES DEPARTMENT

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE CITY CLERK'S OFFICE OF THE ADMINISTRATIVE SERVICES DEPARTMENT. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

CITY CLERK'S OFFICE

1. Advisory Group Member Information

Files and binders contain information about applicants and members of each of the City's advisory groups. **Disposition:** *Retain for 2 years or when no longer needed for reference, then discard.* California Government Code (GC) 34090)

2. Annexation Files

Files contain correspondence, ordinances, reports, and other materials related to annexations by the City of Santa Barbara. **Disposition:** *Permanent*

3. Charter of the City of Santa Barbara

These are various versions of the Santa Barbara City eCharters. Current Santa Barbara City Charter is a vital record. **Disposition:** *Permanent*

4. City Council Meeting Audio or Video Recordings

Audio and video recordings contain recorded City Council meetings. **Disposition:** *Retain for 10 years.*

5. City Council Meeting Minutes

Volumes contain the minutes of City Council meetings. **Disposition:** *Permanent*

6. City Council Meeting Minutes, Index to

These indices provide subject and chronological access to the City Council Minutes. Minutes for 1904-1937 are contained in 12 volumes in chronological order; 1937-1973 minutes are contained in 78 volumes in alphabetical order, 1972-1990 minutes are indexed by file cards, and beginning with 1988, minutes are also indexed in electronic format. **Disposition:** *Permanent*

7. Contracts, Agreements and Leases

Files contain contracts, agreements, leases, legal notices, certificates of insurance, surety bonds, requests for proposals, proposals, technical specifications, change orders, and similar records related to the administration, renewal, and termination of contracts, agreements and leases to which the City is a party. **Disposition:** *Contracts: Retain 15 years after completion or termination; Leases: Retain for life of lease plus 4 years.*

8. Contracts/Agreements/Leases Indices

Logs contain information about each City agreement. The logs are supplemented by ~~contract~~ index cards. These have not been created since 1998, when agreement information began to be kept in electronic format. **Disposition:** *Permanent*

9. Council Agenda Report Files

Files contain petitions, correspondence, financial statements and bank books, ordinances, resolutions, affidavits of publication, survey maps and reports, reports on various issues, claims, patents and deeds, ~~contracts and bonds~~, oaths of officers, bond records, City eClerk reports, department reports, land petitions and requests, abstracts of title, and other materials submitted to the City Council as back-up documentation for agenda items. Some of the earliest documents are in Spanish. ~~The more recent files also contain the agendas and minutes for the subject Council meetings.~~ **Disposition:** *Permanent*

10. Council Agendas

These agendas for City Council Meetings are numerically coded for filing purposes. Agendas prior to July 2006 include information on the actions taken by the ~~City~~ Council. Agendas for 1967-1971 are on microfilm in a bank safety deposit box, agendas beginning with 1975 are in file format, and agendas beginning with 1998 are also in electronic format. **Disposition:** *Permanent*

11. Deed Logs

Logs contain information about all the City's deeds. There is a special volume for water deeds. **Disposition:** *Permanent*

12. Election Ballots, Assessment Districts:

Ballots mailed to property owners in elections held to establish assessment districts; election proceedings must follow requirements of Proposition 218/California Constitution Article XIID. **Disposition:** *3 years from the date of the public hearing held to consider formation of the assessment district.* (City Council Resolution No. 06-023)

13. Election Information Binders

- (a) Binders consisting of historical election information, including the names of candidates/officeholders and language of ballot measures, as well as statistics regarding votes cast. **Disposition:** *Permanent.*

- (b) Binders containing duplicate copies of information filed in Election Records files (Schedule No. 12), including sample ballots from specific elections and the County Clerk's Statement of Votes Cast. **Disposition:** *Discard after 2 years or when no longer needed for reference.*

14. Election Records

Files contain records documenting elections held within the City, both those consolidated with and conducted by the County of Santa Barbara, and those conducted by the City itself; Nomination Documents (declaration of candidacy and nomination papers); Campaign Statements (financial disclosure); and Initiative Petitions.

- (a) Files, Elections Consolidated With and Conducted by the County of Santa Barbara:
 - (1) Council Agenda Reports, resolutions, legal notices, affidavits of publication and posting, and City Clerk correspondence documenting the election process. **Disposition:** *Permanent*
 - (2) Sample ballots. **Disposition:** *Retain one copy of each sample ballot permanently.*
- (b) Files, Elections Conducted by the City of Santa Barbara:
 - (1) Council Agenda Reports, resolutions, legal notices, affidavits of publication and posting, and City Clerk correspondence documenting the election process. **Disposition:** *Permanent*
 - (2) Sample ballots. **Disposition:** *Retain one copy of each sample ballot permanently.*
 - (3) Ballots, Applications for Vote by Mail Ballots, Vote by Mail Voter Identification Envelopes, Vote by Mail Challenge List, Precinct Official material, Ballot Processing Logs, Ballot Counter Printouts; Logic & Accuracy Certifications, Ballot Counter Program Cards, Ballot Statements from Precincts, Street Indexes, Daily Summary Reports, Manual Tally Sheets, Voter ID and Polling Place Location Reports, Log of Observers of Vote by Mail Ballot Board, working copy of Precinct Map of Santa Barbara area, and Report: "Voter Listing with Comments." **Disposition:** *Retain for 6 months from the date of the election, then destroy.* (EC Sections 17302, 17304, 17503 and 17505)
 - (4) CD of Voter Information, Rosters of Voters, and Applications for Registration Information. **Disposition:** *Retain for 5 years from the date of the election, then destroy.* (EC Sections 17001, 17300, and 2188(f), respectively.)
- (c) Nomination Documents (Declaration of candidacy and nomination papers). **Disposition:** *Discard after expiration of term of office for which they are filed plus four years.* (EC 17100)
- (d) Campaign Statements:
 - (1) Statements of Mayor, City Councilmembers, candidates for these offices who are elected, and committees supporting any officeholder or elected candidate. **Disposition:** *Permanent.* (GC 81009)

(2) Statements of candidates for Mayor or City Councilmember who are not elected, and of committees supporting any candidate for these offices who is not elected.

Disposition: *Discard after 5 years.* (GC 81009)

(3) Statements of committees formed to support or oppose ballot measures or for general purposes. **Disposition:** *Discard after 7 years.* (GC 81009)

(e) Initiative Petitions. **Disposition:** *Discard 8 months after certification of results of the election for which the petition qualified, or, if the measure for any reason is not submitted to the voters, 8 months after the final examination of the petition by the elections official.* (EC 17200)

15. Ethics Training Logs

These logs document training taken by local agency officials in general ethics principles and ethics laws relevant to public service. Training is required by AB 1234. The logs record (1) the dates that local officials satisfied the training requirement; and (2) the entity that provided the training.

Disposition: *Retain logs for 5 years after the date of the training, then discard.* (GC 53235.2.)

16. Grant Deeds, Easements

Deeds and easements were recorded for property transactions in the City of Santa Barbara.

Deeds and easements for current City property are vital records. **Disposition:** *Permanent*

~~18~~17. Ordinances

Official ordinances of the City of Santa Barbara. Ordinances enacting laws are codified into the City's Municipal Code. Current Municipal Code is a vital record. **Disposition:** *Permanent*

~~19~~18. Ordinances Index

Index provides access to City Ordinances in alphabetical order by subject. **Disposition:** *Permanent*

~~20~~19. Reference Files

Files contain copies of documents to which staff and the public often refer, including ordinances, resolutions, advisory group information, campaign statements, agendas and staff reports, the Municipal Code, financial plans, and policy and procedures manuals. **Disposition:** *Discard after 2 years or when no longer needed for reference.* (GC 34090.7)

~~21~~20. Reports

Bound reports and environmental impact reports submitted to the City Council. These are part of the Council files, but are stored separately due to their volume. **Disposition:** *Permanent*

~~22~~21. Resolutions

Official resolutions of the Santa Barbara City Council. **Disposition:** *Permanent*

~~23~~22. Resolutions Index

Logs contain information about each City Council resolution. **Disposition:** *Permanent*

2423. Statements of Economic Interest

Statements disclose financial interests of officials to ensure that they are not involved in a conflict of interest. These statements must be filed by advisory group members, and certain other employees. **Disposition:** *Discard after 7 years.* (GC 81009)

OBSELETE RECORDS OF CITY CLERK AND VARIOUS CITY DEPARTMENTS

2524. Abstracts of Title

Volumes contain abstracts of title for property transactions in the City of Santa Barbara. **Disposition:** *Permanent*

2625. Acts of the State of California

These are acts that confer powers on the Common Council of Santa Barbara (1878) and that amend the original incorporation act (1861-1878). This is not a City record. **Disposition:** *Permanent*

2726. Annual Financial Statements

Binders contain a published record of the City's financial situation, compiled yearly. Included are year end balances for all funds, the City's debt, and other related financial information. **Disposition:** *Permanent*

2827. Assessment Rolls

Volumes contain lists of property owners and descriptions of their property. Some volumes also contains maps that show the location of the property owned by each person. **Disposition:** *Permanent*

2928. Assessment Rolls, Delinquent

Volumes provide information about City residents that are delinquent in paying their tax assessments. **Disposition:** *Permanent*

3029. Assessor's Block Books

Books contain a map of each City block and provide information about property ownership. These maps were created by the City Assessor. After 1960, the County Assessor assumed the function and created Parcel Maps. **Disposition:** *Permanent*

3130. Assessor's List of Mortgages

Volume contains information on property owner names, mortgage amount, name of mortgage holder, and lot and block numbers affected. This is a county record. **Disposition:** *Permanent*

3231. Auditor Report

Volume contains reports of the City Auditor for fiscal years 1917-1918 and 1918-1919. **Disposition:** *Permanent*

3332. Board of Equalization Minutes

Volumes contain the minutes of Board of Equalization meetings. **Disposition:** *Permanent*

3433. Bond Books

Volumes contain a record of bond purchases. Included are records of street improvement bonds for Eastern and Ocean Boulevards, bridge bonds, sewer bonds, fire house bonds, Mission Tunnel bonds, waterworks extension tunnel bonds, registered bonds, City waterworks system bonds, City hall bonds, municipal improvement street bonds, and the cash bond fund. Also included are water bond registers and bond registers. **Disposition:** *Permanent*

3534. Book "A" Grants

Volume contains information about land grants in Santa Barbara. **Disposition:** *Permanent*

3635. Budget Apportionment Book

Book documents monies disbursed for the operation of City departments such as Police, Fire, City Attorney, Assessor, Sanitation, and Dog Pound during fiscal year 1917-1918. **Disposition:** *Permanent*

3736. Building Ledger

Volume documents building construction permits issued by the City for building remodeling, plumbing installation, natural gas hook-ups, electrical fixture installation, or building relocation and contains information on date permit was issued, name of contractor, street address where work performed, structure owner's name, cost of improvements, and permit fee. **Disposition:** *Permanent*

3837. Business Licenses

Volumes contain information on names of persons applying for licenses, description of types of licenses applied for, and amount of fee paid. **Disposition:** *Permanent*

3938. Cash Books

Books document monies received into and paid from various City funds from 1884 to 1919. Information varies from book to book, with some volumes including financial fund balance information, as well as itemized expenditure and income information. The information within each volume is arranged by type of fund (i.e., Sewer Board Fund, Library Building Fund, General Fund, and Fifth Ward Improvement Fund). **Disposition:** *Permanent*

4039. Charter Review Task Force Minutes

Binder contains the hard copy meeting minutes of the 1982 Charter Review Task Force.

Disposition: *Permanent*

4140. City Electrician's Record Book

Books documents payments issued by City electrical services for work performed by private contractors and contains information on permit issue date, contractor name, type of electrical service performed, fee charged, location of residence, and owner's name. **Disposition:**

Permanent

4241. City of Santa Barbara Parking Corporation Minutes

Volume contains City of Santa Barbara Parking Corporation meeting minutes. **Disposition:**

Permanent

4342. City Treasurer Books/Journal

Volumes document City expenditures and income. The earliest entries are in Spanish. The volumes also document cash expenditures and bank statements. **Disposition:** *Permanent*

4443. Day Book

Book contains an account of payments received and made by the City. There is a partial index of persons who received funds from the City on the inside front cover. **Disposition:** *Permanent*

4544. Fire Company Records

Volumes contain the minutes, constitution, and bylaws of the Hall Washington Fire Company, No. 2 and the Pioneer Engine Company, No. 1. **Disposition:** *Permanent*

4645. Fire Department Expenditures Book

Volume documents expenditures of the Fire Department for fiscal year 1916-1917. These expenditures were made in response to claims for goods and services provided by the claimants.

Disposition: *Permanent*

4746. Garden Street Fund Account

Volume documents expenditures and income for the Garden Street Fund. **Disposition:**

Permanent

4847. Gas Permit Record

Volume documents natural gas permits issued by the City and contains information on location of hook-up, owner of residence, contractor providing service, inspection dates, and fee charged.

Disposition: *Permanent*

4948. General Ledgers

Ledgers contain information about cash and general expenditures, bank accounts, meter billing, journal vouchers, and other financial matters. **Disposition:** *Permanent*

5049. Historical Research

This is a compilation of information from the City Council minutes prepared with funding from the Civil Works Administration (a New Deal agency of the federal government). **Disposition:** *Permanent*

5150. Map Negatives

These photographic negatives are of early maps of Santa Barbara. They were surveyed and drawn by V. Wackenreuder and A. S. Cooper. The originals for two of these maps hang in the hallway of the Public Works Department. In addition to the negatives, there are two blueprint copies of one of the Wackenreuder maps. **Disposition:** *Permanent*

1751. Maps

Maps relate to precincts, water main locations, forest reserve cabin sites, school districts, subdivisions, tracts, annexations, City property, zoning districts, streets, Stearns Wharf, wards, general plans, fire hazard areas, assessment districts, Pueblo lands, and other topics. Also included are real estate atlases featuring aerial photographs of Santa Barbara. ~~Record copy of original maps is in City Clerk's Office; record copy of duplicate planning maps is in Community Development Department; record copy for duplicate engineering, design, or construction maps and plans is in Public Works Department.~~ **Disposition:** *Permanent*

52. Meter Billing Books

Volumes document water bills based on meter readings from 1916 to 1918. **Disposition:** *Permanent*

53. Meter Book

Volume contains records of water tank, weight, and pulsation. **Disposition:** *Permanent*

54. Mission Tunnel Contracts

Volume contains a record of contracts issued by the City to private contractors for work done on Mission Tunnel. **Disposition:** *Permanent*

55. Old Town, Santa Barbara: A Narrative History of State Street from Gutierrez to Ortega, 1850-1975

This a historical report edited and compiled by James C. Williams, a student at the University of California, Santa Barbara. This is not a City record. **Disposition:** *Permanent*

56. Parking District Assessment Rolls

Volumes contain lists of property owners and descriptions of their property in the parking assessment district. **Disposition:** *Permanent*

57. Photographs

Framed black and white photographs of City mayors. **Disposition:** *Permanent*

58. Property Grants and Petitions

The original "Grant of Pueblo Lands of Santa Barbara" (5/31/1872) signed by President U. S. Grant, petitions by the Southern Pacific Railroad for land to build tracks, and a grant of land to the Railroad (1886, 1892). **Disposition:** *Permanent*

59. Record of Contracts

Volumes contain information on contracts issued by the City of Santa Barbara, Superintendent of Streets. The older two volumes contain an index to contractors at the front of the volume and some street maps. **Disposition:** *Permanent*

60. Record of Improvement Bonds and Indices

Volumes contain information on improvement bonds sold, such as property owner names and issue dates of bonds. Most volumes contain an alphabetical name index of property owner's in the front of the volume. **Disposition:** *Permanent*

61. Register of Warrants

Volumes include the record of warrants issued to authorize payments from various City funds, including the General Fund, Fire Department Fund, Water Works Fund, and other such funds. Information in the volumes includes the date of issue, payee, service rendered, total amount due, and date warrant holder paid. **Disposition:** *Permanent*

62. "Report of Commissioners in the Matter of Closing Up of Portions of Certain Streets in the First Ward of the City"

This report deals with the realignment of Santa Barbara's streets. **Disposition:** *Permanent*

63. Santa Barbara American Revolution Bicentennial Committee Records

Files contain scrapbooks, newspaper clippings, and other records documenting the activities of the committee. **Disposition:** *Permanent*

64. Santa Barbara Board of Examining Engineers

Volume contains minutes of Santa Barbara Board of Examining Engineers meetings. **Disposition:** *Permanent*

65. Santa Barbara Municipal Codes

Volumes contain various versions of the municipal code of the City of Santa Barbara. **Disposition:** *Permanent*

66. Sewer Record Book

Book contains resolutions of City Council related to sewer system work and includes information on the awarding of contracts for such work. **Disposition:** *Permanent*

67. Street Department Records

Volumes contain warrants, plans, assessments, and other materials related to street construction and maintenance. **Disposition:** *Permanent*

68. Subject Files

These are microfilmed City Clerk subject files. **Disposition:** *Permanent*

69. Tax Collection Receipts

Volume contains information on the names of debtors and the location of their property from 1924 to 1925. **Disposition:** *Permanent*

70. Time Roll and Daily Time Book

Books date from 1915 and 1923, documenting the hours worked by City employees and their wages. **Disposition:** *Permanent*

71. Treasury Invoices

Volumes contain receipts for payments made to the City Treasurer's Office by individuals and institutions from 1902 to 1910. **Disposition:** *Permanent*

72. Water Works Cash Books

Volumes document financial transactions in the Water Works Extension Account (1903), as well as refunds related to water works, pipe lines, and taps (1898-1913). **Disposition:** *Permanent*

HUMAN RESOURCES DIVISION

73. Claims

Files contain claim forms that allow division to encumber the funds to pay invoices. Record copy is in Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

74. Closed Eligibility and Examination Files ("Abolished Files")

Files contain employee applications, certified eligibility lists, job flyers, examinations, and other information regarding individuals on the eligibility lists. These files are formed by combining examination and eligibility files once the eligibility lists are closed. **Disposition:** *Discard after 2 years.*

75. Department Files

Administrative subject files for the department containing information regarding policies and procedures, personnel studies, meeting and hearing records, budgets, memoranda of understanding, negotiation files, correspondence, and other materials related to human resources issues.

- (a) Organizational and project files including information and correspondence regarding policies and procedures, personnel studies, meeting and hearing records, memoranda of understanding, negotiation files, and related records documenting the division's formulation and implementation of projects, policies, programs, and operations. **Disposition:** *Permanent.* (GC 34090)
- (b) Administrative procedural files including administrative announcements, routine correspondence and memoranda, statements, reports, and other division records pertaining to office procedures and distributed within the division or among City offices. **Disposition:** *Retain in office 5 years or when superseded.* (GC 34090)
- (c) Duplicate records including budget, and correspondence and reports maintained by other City divisions and departments. **Disposition:** *Discard after 2 years or when no longer needed for reference.* (GC 34090.7)

76. Department of Motor Vehicles Pull Files

Files contain Division of Motor Vehicles (DMV) notices to the City of Santa Barbara about the driving records and suspended licenses of employees who drive on the job.

- (a) Violation records designated as two points. **Disposition:** *Discard after 7 years.* (California Vehicle Code (CVC) 1808)
- (b) Accident records and all other violations. **Disposition:** *Discard after 3 years.* (CVC 1808)
- (c) Suspensions and revocations of driving privilege. **Disposition:** *Discard after 3 years following termination of the action or reinstatement of the privilege.* (CVC 1808)

77. Employment Eligibility Forms (I-9)

Forms document that employees are U.S. citizens or resident aliens and are permitted to work in the United States. **Disposition:** *Discard 3 years after hire or 1 year after employee termination, whichever is later.* (8 CFR 274a.2)

78. Exit Interviews

Files contain exit interviews with terminating or separating employees. **Disposition:** *Discard after 5 years or when no longer needed for reference.* (GC 34090)

79. Payroll Records

This is a duplicate file of payroll records for City employees. Record copy is in Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

80. Personnel Folders (active and inactive)

Files document the employee history of all City's active and inactive permanent and temporary employees. They contain job applications, evaluations, personnel action forms, W4 forms, benefit forms, and other employee information.

- (a) Employee files containing job applications, evaluations, personnel action forms, benefit forms, and correspondence and reports related to employees. **Disposition:** *Discard 25 years after employee termination or separation.* (29 CFR 1627.3 and GC 12946)
- (b) Leave requests. **Disposition:** *Discard after 3 years.*
- (c) W-4 forms. **Disposition:** *Discard 4 years after the due date of the tax to which the records relate or after tax is paid, whichever is later.* (26 CFR 31.6001-1; 29 CFR 516.5)

81. Recruitment and Selection Files

Files contain materials documenting the history of recruitment for City positions and include job announcement flyers, copies of tests used, notes on which tests were used when and when last given, job descriptions, and other related information. **Disposition:** *Permanent*

82. Tuberculosis Records

Files contain records of tuberculosis testing of recreation employees. This is a vital record. **Disposition:** *Discard 30 years after employee termination or separation.* (29 CFR 1910.1020(d))

83. Vacancy Files ("Green Sheets")

Files contain the green sheets that contain information on City vacancies. **Disposition:** *Discard after 2 years or when no longer needed for reference.* (GC 34090)

BENEFITS OFFICE

84. Benefit Files

Files document benefits received by retired City workers and contain correspondence, benefit forms, retiree payment information, benefit information, and related materials. This is a vital record. **Disposition:** *Discard 10 years after employee termination or separation, or 10 years after last year enrolled in the plan.* (29 CFR 1627.3)

85. Benefit Subject Files

Files contain reports, memoranda, correspondence, and other records on benefits and related subjects. **Disposition:** *Discard after 5 years or when superseded.* (GC 34090)

86. COBRA Files

Files document terminated and retired employees who receive COBRA (Consolidated Omnibus Budget Reconciliation Act) benefits and contain correspondence, insurance forms, payment information, and other related information. This is a vital record. **Disposition:** *Discard 10 years after employee termination or separation, or 10 years after last year enrolled in the plan.* (29 CFR 1627.3)

87. Deferred Compensation Program Correspondence

Files contain withdrawal forms and correspondence between benefits office and deferred compensation providers. **Disposition:** *Discard 20 years after expiration, termination, or cancellation of program.*

88. Drug and Alcohol Program Records

Files document the activities of the United State Department of Transportation Drug and Alcohol Program. This program is the result of federal regulations that require that City employees who drive vehicles covered by the Department of Transportation must submit to drug and alcohol testing. The files contain correspondence, test results, regulations, and other related materials.

- (a) Records of positive drug test results and alcohol test results indicating an alcohol concentration of 0.02 or greater, documentation of refusals to take required tests, calibration documentation, employee evaluations and referrals, and MIS reports submitted to FTA. **Disposition:** *Discard after five years.* (49 CFR 653.71 and 49 CFR 654.51)
- (b) Records related to the collection process and employee training. **Disposition:** *Discard after 2 years.* (49 CFR 653.71 and 49 CFR 654.51)
- (c) Records of negative drug test results and alcohol test results indicating an alcohol concentration of less than 0.02. **Disposition:** *Discard after 1 year.* (49 CFR 653.71 and 49 CFR 654.51)

INFORMATION SYSTEMS DIVISION**89. Access Request Forms**

Files contain a form requesting rights and permissions for each open computer email or log in user or resource account in the city, records of changes to those rights/permissions, and forms for requests to close/delete each every account closed when applicable. **Disposition:** *Retain until account ~~is has been~~ closed for 6 months, then discard.*

90. Computer Inventory File

~~File contains information on all the city's computer hardware and software. Included is ownership information and information on which departments use which software. The Police Department's system is separate, so the file does not contain information about the Police Department's system. This is a vital record. **Disposition:** *Discard after 5 years or when no longer needed for*~~

~~reference. (GC 24051)~~

9190. Computer Project File

File contains documentation regarding the city's computer/operating systems project.

Disposition: *Retain for life of project or until no longer needed for reference, then discard.*

~~**92. Logs**~~

~~Logs contain documentation of completed report requests, closed trouble calls, help desk reports, calls to help desk, and completed change requests. These logs record work done by division staff.~~

~~**Disposition:** *Discard after 2 years. (GC 34090)*~~

9391. System Documentation

Records provide documentation for the city's computer systems. Electronic file is a vital record.

Disposition: *Retain for life of computer system, then delete.*

CITY OF SANTA BARBARA, CA AIRPORT DEPARTMENT

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE AIRPORT DEPARTMENT. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

ADMINISTRATION/PROPERTY MANAGEMENT DIVISION

1. Administration Financial Files

Files contain reports, correspondence, and other materials on budgeting and Federal Aviation Administration Airport Improvement Project grants; also, financial records for the Airport's public parking lots.

- (a) Reports, correspondence, and general budgeting materials. **Disposition:** *Discard 7 years after end of fiscal year to which the records relate.* (26 Code of Federal Regulations (CFR) 1.6001-1 and California Code of Regulations (CCR) §19141.6)
- (b) Airport Improvement Project grant financial expenditure records and related materials including invoices, cost estimates, payroll, and payment reports. **Disposition:** *Discard 7 years after final grant payment.* (14 CFR 151.55)
- (c) Public Parking Receipts and Financial Documents. **Disposition:** *Discard after 2 years.* (GC 34090.7)
- (d) Passenger Facility Charge reports and treasury receipts. **Disposition:** *Discard 10 years after final payment is received.*
- (e) Transportation Security Administration Agreement. Agreement, correspondence, invoices, and treasury receipts. **Disposition:** *Discard 3 years after expiration of agreement.*

2. Airport Audiotapes

Audiotapes contain radio broadcasts and radio promotion spots concerning the airport. **Disposition:** *Retain until superseded or no longer needed for reference.*

3. Airport Commission Files

Files contain Commission minutes, agendas, correspondence, and other documentation of Airport Commission activities. These materials are kept in the General File. **Disposition:** *Permanent*

4. Airport History Files

Files contain newspaper clippings, leases, contracts, correspondence, reports, and other materials related to the history of the airport. **Disposition:** *Permanent*

5. General Files

The General Files are the central files for the Airport Department. Files contain closed project and lease files, completed engineering files, Airport Commission files, consultant files, files related to outside agencies such as the Federal Aviation Administration and the California Department of Transportation, and other files related to airport issues.

- (a) Inactive Engineering project files.
 - (1) Maps, plans, reports, correspondence, photographs, specific plans, and other original construction related materials. **Disposition:** *Permanent*
 - (2) Duplicate of records in other City departments and routine materials such as correspondence and records of minor administrative character which contain no substantive information. **Disposition:** *Discard 10 years after project is complete.* (CCP 337.15; CCP 337.1)
- (b) Inactive Lease files contain closed leases and concession management agreements, and related correspondence. **Disposition:** *Retain for 2 years or until no longer needed for reference, then discard.* (GC 34090.7)
- (c) Inactive Airport Commission Files. **Disposition:** *Retain for 2 years, then discard.* (GC 34090.7)
- (d) Duplicates of records in other City departments and routine materials such as correspondence and records of minor administrative character which contain no substantive information. **Disposition:** *Discard after 2 years.* (GC 34090 and 34090.7)

6. Maps and Plans

These are maps and plans of airport facilities. Included are original pencil drawings.

Disposition: *Permanent*

7. Marketing Subject Files

Files contain the working and subject files of the marketing office and document airport marketing activities and information. Also included in the files are historical marketing materials dating back to the 1960s.

- (a) Historical marketing files dating back to the 1960s. **Disposition:** *Permanent*
- (b) Subject and Reference Files. **Disposition:** *Discard after 2 years.* (GC 34090 and 34090.7)

8. Permit Files

Files contain airline operating permits, shuttle permits, temporary permits, and other types of permits. **Disposition:** *Retain until expiration of permit plus 2 years; then discard.* (GC 34090)

9. Photographic Materials

Photographs and slides show airport facilities, famous people at the airport, and airport events and staff. Some of the slides are duplicates of historic photographs. **Disposition:** *Permanent*

10. Requisitions

Binders contain requisitions related to administration, maintenance, capital support, grants, and other airport functions. Record copy is in Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

11. Terminated Accounts

Binders document airport business or service accounts that have been terminated. **Disposition:** *Discard 7 years after end of fiscal year to which the records relate.* (26 CFR 1.6001-1; CCR § 19141.6)

AIRPORT OPERATIONS

12. Aircraft Incident Reports

Files contain correspondence, photographs, reports, and other materials documenting every incident involving an airplane such as plane crashes and emergencies. Files for prior 5 years are a vital record. **Disposition:** *Retain until investigation is complete plus 5 years; then discard.* (14 CFR 107.23)

13. As-Built Plans

These are as-built plans for all airport facilities. **Disposition:** *Permanent*

14. CalTrans (California Department of Transportation) – Operating Permit

State of California Airport Operating Permit. **Disposition:** *Permanent*

15. Citizen Injury Reports

Reports document injuries to civilians on airport property. **Disposition:** *Discard after 5 years.* (CCP 337.1 and 340)

16. FAA (Federal Aviation Administration) – Certification

Federal government certification documentation including the certification manual and correspondence. **Disposition:** *Permanent*

17. FAA – Letters of Agreement

Letters of Agreement with the FAA covering the topics of airfield lighting, aircraft movement, and procedures for alerting emergency equipment. **Disposition:** *Discard 15 years after termination or completion* (CCP 337, 337.1, 337.15, 337.2, 338, and 338.1)

18. Facilities File

Files contain maps, remodel drawings, specifications, correspondence, and other materials concerning each airport facility. Current maps, drawings, and specifications are vital.

Disposition: *Permanent*

19. Found Items Binder

Binder documents disposition of property found on airport grounds and describes that property.

Disposition: *Discard 7 years after property is reported to the State Controller.* (CCR § 1175)

20. General Incident Reports

Reports document incidents such as thefts, break-ins, and other occurrences on airport property. Current files are vital records. **Disposition:** *Discard after 3 years.* (14 CFR 107.23)

21. Identification Badge Files

Files contain applications for identification badges for any person having regular business on airport grounds and contain information on the date the badge was issued. This is a vital record.

Disposition: *Retain until canceled plus 6 months; then discard.* (14 CFR 108.33)

22. Noise Abatement Files

Files contain minutes of Noise Abatement Committee meetings, noise reports, and other related materials.

(a) Noise Abatement Committee Minutes. **Disposition:** *Permanent*

(b) Noise Reports. **Disposition:** *Permanent*

(c) All other materials. **Disposition:** *Retain 7 years, then discard.*

23. Noise Abatement Subject Files

Files contain correspondence, reports, statistics, reference information, and other materials related to airport noise and miscellaneous issues such as bird strikes, emergency information, administrative information, and runway incursions.

(a) Correspondence, reports, statistics, and other materials related to noise issues at Santa Barbara Municipal Airport. **Disposition:** *Permanent*

(b) Reference Files. **Disposition:** *Discard after 2 years.* (GC 34090 and 34090.7)

24. Notice to Airmen

File documents the airport's issuance of notices to airmen regarding obstructions to flight (i.e., tall derricks, etc.) and unusual flying conditions. **Disposition:** *Discard after 7 years.* (Code of Civil Procedure (CCP) 340)

25. Parking Permit Applications

Applications for permits to park in the airport parking lot. **Disposition:** *Discard after 2 years.* (GC 34090)

26. Patrol Officer's Daily Logs

Logs document the daily activities of the Airport patrol officers. **Disposition:** *Discard after 3 years.* (GC 34090)

27. Responsible List

This is a list of employees of businesses leasing airport property to be contacted in case there is a problem. **Disposition:** *Discard when superseded.*

28. Runway Inspection Sheets

Sheets document that the security patrol inspects the runway for obstructions as required by the Federal Aviation Administration. This is a vital record. **Disposition:** *Retain 1 year unless there is a major incident and pending possible litigation; then discard.* (FAA Regulation)

29. Security Correspondence

FAA/CASFO (Civilian Aviation Security Field Office) correspondence regarding security issues. **Disposition:** *Retain until no longer needed then destroy after 2 years.* (GC 34090)

30. Security Office Subject Files

Files contain inspection reports, correspondence, notes, reports, and other materials related to subjects such as risk management, vehicles warned prior to towing, stolen vehicles, and other topics. **Disposition:** *Discard after 2 years.* (14 CFR 107.23, GC 34090 and 68152)

31. Security Plan

The Airport Security Plan. **Disposition:** *Permanent*

32. Stormwater Discharge Reports

Reports related to stormwater run-off quality at the Santa Barbara Municipal Airport. They are prepared annually and submitted to the California State Water Quality Control Board.

Disposition: *Permanent*

33. Taxicab Files

Files contain correspondence, statistics, activity logs, taxicab permits, and other materials related to taxicabs serving the airport. **Disposition:** *Discard 7 years after end of fiscal year to which the records relate.* (26 CFR 1.6001-1; GC 34090; CCR § 19141.6)

34. Terminal Building Surveillance Video Tapes

Video tapes containing time lapse video of the interior of the airline terminal building, the commercial airline ramp, terminal vehicle loading zone, and the front of the Security Operations Center. **Disposition:** *If the tape contains no incidents, erase/discard after 2 years (GC 34090.6); if tape contains incident likely to lead to civil litigation, erase/discard after 5 years (CCP 338, 338.1, CCP 340); and if tape contains incident likely to lead to criminal prosecution, turn tape over to the law enforcement agency handling the case.*

35. Towed Vehicle Files

Files document the towing of vehicles by airport security. **Disposition:** *Discard after 2 years.* (GC 68152)

36. Work Orders

Work orders document work performed by maintenance staff at the airport. **Disposition:** *Retain until work order is complete plus 6 months; then discard.* (14 CFR 139.327)

CAPITAL SUPPORT**37. Airport Design and Construction Project Files**

Files contain maps, plans, reports, correspondence, photographs, specific plans, construction information and other materials related to airport design and construction.

- (a) Maps, plans, reports, correspondence, photographs, specific plans, and other original construction related materials. This is a vital record. **Disposition:** *Permanent*

- (b) Duplicates of records retained in other City departments and routine records such as correspondence and other materials of minor administrative character which contain no substantive information. **Disposition:** *Discard 10 years after project is complete.* (CCP 337.15; CCP 337.1)

38. Drawings (current)

These are current drawings of airport grounds and facilities. This is a vital record. **Disposition:** *Permanent*

39. Engineering Project Files (inactive)

Files contain plans, reports, correspondence, and other materials related to airport engineering projects.

- (a) Maps, plans, reports, correspondence, photographs, specific plans, and other original construction related materials. **Disposition:** *Permanent*
- (b) Duplicate of records retained in other City departments and routine materials such as correspondence and records of minor administrative character which contain no substantive information. **Disposition:** *Discard 10 years after project is complete.* (CCP 337.15; CCP 337.1)

40. Engineering Subject and Open Project Files

Files contain maps, plans, reports, correspondence, and other materials related to airport engineering topics such as runways, lighting, resurfacing, the terminal, and grading.

- (a) Maps, plans, reports, correspondence, photographs, specific plans, and other original construction related materials. **Disposition:** *Permanent*
- (b) Duplicate of records retained in other departments and routine materials such as correspondence and records of minor administrative character which contain no substantive information. **Disposition:** *Discard 10 years after project is complete.* (CCP 337.15; CCP 337.1)

41. Hazardous Material Files

These files contain MSDS data sheets, manifests, and incident and exposure reports.

- (a) Material Safety Data Sheets (MSDS). List of each hazardous chemical containing information on the manufacture, proper use, storage, and other relevant safety information. **Disposition:** *Discard 30 years after the last use of the chemical.* (29 CFR 1910.1200 (g) and 29 CFR 1910.1020 (d))

- (b) Incident and Exposure Reports. These document incidents related to hazardous materials and hazardous materials exposures. **Disposition:** *Retain 5 years following the end of the year to which they relate.* (29 CFR 1904.6)
- (c) Manifests. These are workplace chemical lists of hazardous materials used at the Airport Department. **Disposition:** *Update annually; discard when superseded.*

42. Plans and Layouts

These are working and final plans for airport facilities. Working plans and layouts are vital records. **Disposition:** *Permanent*

43. Plans, Maps, and Aerial Photographs (original)

These are the original final plans and as-built plans for airport facilities. Also included are aerial photographs and blueprints. Current as-built plans are vital records. **Disposition:** *Permanent*

44. Specifications

These are construction specifications for airport facilities. **Disposition:** *Permanent*

CITY OF SANTA BARBARA, CA CITY ADMINISTRATOR'S OFFICE

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1. City Administrative Office Departmental Files

Files contain memoranda, correspondence, studies, reports, and other materials related to the activities of City departments and agencies. Many files contain information on historically significant issues and events in Santa Barbara.

(a) Memoranda and Correspondence.

(1) Program and Policy Correspondence. Incoming and outgoing letters and memoranda pertaining to the formulation, planning, and implementation of policies, programs, operations, and projects of a City department, division, or office. **Disposition:** *Retain for 25 years.*

(2) Routine Correspondence. Incoming and outgoing letters pertaining to normal and routine administrative functions. Consists of correspondence providing general information, replying to complaints and requests for information, referring inquiries elsewhere, forwarding materials, acknowledging incoming letters, making arrangements for routine meetings or other events, and similar matters of minor administrative character which contain no substantive information. **Disposition:** *Discard after 2 years. (GC 34090)*

(3) Transitory Correspondence. Requests for information and copies of replies thereto involving no administrative actions, no policy decisions, and no special compilations or research, and requests for and transmittal of publications, photographs, and other informational literature. Also letters of transmittal and thanks. **Disposition:** *Retain in office 1 year, then discard.*

(3)

(b) Studies completed by City Administrator staff.

(1) Departmental record copy of reports and studies approved by City Council. Record copy is in Administrative Services Department, City Clerk's Office. **Disposition:** *Retain for 2 years.*

- (2) Internal Reports and Studies. Reports, studies, surveys, and analyses conducted or commissioned by the City Administrator for internal information or planning purposes, and not transferred to the City Clerk's Office. **Disposition:** *Discard when 10 years old, unless listed otherwise in the City schedules.*

2. City Administrator Files

Files contain correspondence, reports, and reference information used by the City Administrator. Included are directives to staff.

- (a) City Administrator Directives to Staff. **Disposition:** *Permanent*
- (b) Duplicate correspondence and reports. **Disposition:** *Discard after 2 years.* (GC 34090 and 34090.7)

3. Confidential Files

Files contain correspondence, reports, reference information, and court records and reports concerning municipal issues or problem situations such as Grand Jury investigations and employee matters.

- (a) Grand Jury Investigation files. Current files are vital records. **Disposition:** *Retain until issue is resolved plus 2 years, then discard.* (GC 68152)
- (b) Employee files. These files deal with problem situations involving particular employees. Current files are vital records. If case goes to court retain:
- (1) Civil action files. **Disposition:** *Discard after 10 years.* (GC 68152)
- (2) Misdemeanor case files. **Disposition:** *Discard after 5 years.* (GC 68152)
- (c) Employee files. If case does not go to court. **Disposition:** *Retain materials until issue is resolved plus 4 years, then discard.* (Code of Civil Procedure 337, 337.1, 338, 339, and 340)

4. Finance Subject Files

Files contain correspondence, reports, budgets, bonds, studies, audits, claims and other materials related to accounting and billing, budgeting, debt service, investments, revenue and taxation, assessment districts, and other financial topics. Record copy is in Finance Department.

Disposition: *Discard after 2 years.* (GC 34090.7)

5. Human Resources Subject Files

Files contain reports, correspondence, policies and procedures, studies, grievance files, and other materials concerning Human Resource issues and policies, labor relation and negotiation records, and other related topics. Current Grievance Files are vital records. **Disposition:** *Discard original grievance and labor materials after 10 years; discard other materials and duplicates after 2 years.* (GC 34090 and 34090.7)

6. Municipal Government Subject Files

Files contain correspondence, reports, charts, indices, resolutions, proclamations, committee/advisory board/task force records, policies and procedures, newsletters, bulletins, and other materials concerning the City council, mayor, commissions, committees, task forces, and other units of government. The files concern the administration of the municipal government.

- (a) City Administrator policies and procedures relating to City administration. **Disposition:** *Retain for 10 years.*
- (b) Duplicate records maintained in other City departments. **Disposition:** *Discard duplicates after 2 years. (GC 34090.7)*

7. Municipal Operations Subject Files

Files contain correspondence, reports, studies, leases, policies and procedures, agreements, and other materials related to maintenance and improvement of City properties, City property leases, purchasing, risk management, and utilities. Record copy of leases and agreements approved by the City Council is in Administrative Services Department, City Clerk's Office.

- (a) City Administrator Correspondence.
 - (1) Program and Policy Correspondence. Incoming and outgoing letters and memoranda pertaining to the formulation, planning, and implementation of policies, programs, operations, and projects related to city properties. **Disposition:** *Retain for 10 years.*
 - (2) Routine Correspondence. Incoming and outgoing letters pertaining to normal and routine administrative functions. Consists of correspondence providing general information, replying to complaints and requests for information, referring inquiries elsewhere, forwarding materials, acknowledging incoming letters, making arrangements for routine meetings or other events, and similar matters of minor administrative character which contain no substantive information. **Disposition:** *Discard after 2 years. (GC 34090)*
 - (3) Transitory Correspondence. Requests for information and copies of replies thereto involving no administrative actions, no policy decisions, and no special compilations or research, and requests for and transmittal of publications, photographs, and other informational literature. Also letters of transmittal and thanks. **Disposition:** *Retain in office 1 year, then discard.*
- (b) City Administrator policies and procedures related to municipal operations. **Disposition:** *Retain for 25 years.*
- (c) Duplicate records maintained in other City departments. **Disposition:** *Discard after 2 years. (GC 34090.7)*

8. Municipal Planning and Development Subject Files

Files contain correspondence, reports, grant information, policies and procedures, and plans related to community development and planning topics and issues such as administration, commissions, redevelopment, the environment, land use, planning, housing, and transportation. The record copy for 80 percent to 90 percent of these records is in the Community Development Department.

- (a) City Administrator Correspondence. **Disposition:** *Retain for 10 years.*
- (b) City Administrator policies and procedures related to municipal planning and development. **Disposition:** *Retain for 10 years.*
- (c) Duplicate records maintained in other City departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)
- (d) Reference Materials such as grant information files. **Disposition:** *Discard when superseded.* (GC 34090.7)

9. Photographs

Color photographs document the 150th anniversary celebration of the incorporation of the City of Santa Barbara. **Disposition:** *Permanent*

10. Services Airport Subject Files

Files contain correspondence, reports, plans, and policies and procedures related to airport issues such as administration, noise, maintenance, planning, security, and facilities. The record copy for the majority of these records is with the Airport Department.

- (a) City Administrator Correspondence. **Disposition:** *Retain for 5 years.*
- (b) City Administrator policies and procedures related to Municipal Airport. **Disposition:** *Retain for 5 years.*
- (c) Duplicate records maintained in other City departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)

11. Services Parking Subject Files

Files contain correspondence, reports, and other materials related to parking and parking district topics such as policies and procedures, administration, commissions, districts, and facilities. The record copy for the majority of these records is in the Public Works Department.

- (a) City Administrator Correspondence. **Disposition:** *Retain for 5 years.*

(b) City Administrator policies and procedures related to parking operations in Santa Barbara. **Disposition:** *Retain for 5 years.*

(c) Duplicate records maintained in other City departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)

12. Services Public Safety Subject Files

Files contain correspondence, reports, policies and procedures, regulations, inspection plans, and other materials related to emergency services, fire protection, police protection, and animal control issues. The record copy for the majority of these records is in the Office of Emergency Services, the Fire Department, and the Police Department.

(a) City Administrator Correspondence. **Disposition:** *Retain for 5 years.*

(b) City Administrator policies and procedures related to public safety in Santa Barbara. **Disposition:** *Retain for 5 years.*

(c) Duplicate records maintained in other City departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)

13. Services Public Works Subject Files

Files contain correspondence, reports, studies, policies and procedures, and agreements related to public works issues and topics such as streets, sidewalks, traffic, and utilities. The record copy for the majority of these records is in the Public Works Department.

(a) City Administrator Correspondence. **Disposition:** *Retain for 5 years.*

(b) City Administrator policies and procedures related to City public works. **Disposition:** *Retain for 5 years.*

(c) Duplicate records maintained in other City departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)

14. Services Recreational Resources Subject Files

Files contain correspondence, reports, and policies and procedures related to recreation topics such as recreation programs and facilities. The record copy for the majority of these records is in the Parks and Recreation, Waterfront, and Fire departments.

(a) City Administrator Correspondence. **Disposition:** *Retain for 5 years.*

(b) City Administrator policies and procedures related to recreational resources. **Disposition:** *Retain for 5 years.*

- (c) Duplicate records maintained in other City departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)

15. Services Social Services Subject Files

Files contain correspondence, reports, and leases related to social service topics such as administration and facilities. The record copy for the majority of these records is in the Parks and Recreation Department service centers (i.e., Senior Centers).

- (a) City Administrator Correspondence. **Disposition:** *Retain for 5 years.*
- (b) City Administrator policies and procedures related to social services in Santa Barbara. **Disposition:** *Retain for 5 years.*
- (c) Duplicate records maintained in other City departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)

16. Services Water Resources Subject Files

Files contain correspondence, reports, plans, and meeting records related to water resources issues such as policies and procedures, rates, commissions, bonds, water supply, water distribution system, water districts, reservoirs, water treatment, water connections, and wastewater management. The record copy for the majority of these records is in the Public Works Department.

- (a) City Administrator Correspondence. **Disposition:** *Retain for 5 years.*
- (b) City Administrator policies and procedures related to municipal water resources. **Disposition:** *Retain for 5 years.*
- (c) Duplicate records maintained in other City departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)

17. Visioning Project Files

Files contain reports, studies, memoranda, meeting minutes, and other materials documenting the activities of the City's Visioning Committee. The Visioning Committee studied how Santa Barbara's citizens envision the future development and growth of their City, especially as regards the downtown and waterfront areas. The files document what is important to citizens about the physical aspects of Santa Barbara. **Disposition:** *Permanent*

CITY TV

18. Airlogs (Programming Logs)

Logs list what was aired at any given time by Channel 18 (government access television channel).

Disposition: *Retain for 5 years.*

19. Channel 18 Documentaries

Videotapes are documentaries produced by Channel 18 and relate to natural disasters such as droughts, fires, floods, and earthquakes in Santa Barbara, as well as other issues of interest to the citizens of Santa Barbara. **Disposition:** *Permanent*

20. Field Footage

Footage is that which was shot in the field and documents natural disasters such as major storms and earthquakes, special events, and issues of importance to the City. **Disposition:** *Retain for 2 years.*

21. Impressions in Time

Videotape is a 2-1/2-hour-long documentary history of Santa Barbara. **Disposition:** *Permanent*

22. Inside Santa Barbara

Videotapes contain episodes of "Inside Santa Barbara," a newsmagazine produced by Channel 18 that deals with Santa Barbara issues. **Disposition:** *Permanent*

23. Meeting Tapes

Videotapes contain recorded meetings of the City Council and the City boards, commissions, and committees that are advisory to the City Council, and for which written minutes are prepared.

Disposition: *May erase/discard after 30 days (GC 54953.5); but retain no longer than 2 years.*

24. Subject Files

Files relate to issues, division administration, and division projects and contain correspondence, notes, reports, budgets, personnel information, requisitions, and other administrative materials.

Disposition: *Discard after 5 years or when superseded. (GC 34090)*

OFFICE OF MAYOR AND CITY COUNCIL

25. Councilmember Subject Files

Files contain correspondence, reports, and information on topics and issues of interest to the City Councilmembers and to the City. The record copy for departmental reports is in Administrative Services Department, City Clerk's Office.

- (a) Councilmember Correspondence. **Disposition:** *Retain for 5 years after the expiration of the Councilmember's term during which the document was produced, then discard.*

- (b) Duplicate correspondence and reports maintained in other City departments.
Disposition: *Discard after 2 years.* (GC 34090.7)

- (c) Reference information. **Disposition:** *Discard after 2 years.* (GC 34090.7)

26. Mayor's Correspondence Files

These files contain the correspondence of the current mayor of Santa Barbara. **Disposition:** *Retain for 10 years after the expiration of the Mayor's term during which the correspondence was produced, then discard; if correspondence has historical significance, transfer to City Clerk's Office for permanent retention.*

27. Mayor's Subject Files (current)

Files contain correspondence, reports, newspaper clippings, and other materials related to topics and issues of interest to the current mayor, City, and Santa Barbara residents.

- (a) Mayor's Correspondence. **Disposition:** *Retain for 10 years after the expiration of the Mayor's term during which the document was produced, then discard; if correspondence has historical significance, transfer to City Clerk's Office for permanent retention.*
- (b) Duplicate of records maintained in other City departments and newspaper clippings.
Disposition: *Discard after 2 years.* (GC 34090.7)
- (c) Mayor's Personal Papers. These are not City records. **Disposition:** *Retain until end of current mayor's term.*

28. Proclamations and Letters of Recognition

Record copy of proclamations and letters of recognition issued by the City of Santa Barbara to its citizens and employees. **Disposition:** *Discard after 5 years.*

29. Sister Cities Information Files

Files contain correspondence, reports, and information concerning Santa Barbara's sister cities.

Disposition: *Permanent*

OBSOLETE RECORDS

30. Mayor's Subject Files

Files contain correspondence and other materials related to the Sister Cities program.

Disposition: *Permanent*

CITY OF SANTA BARBARA, CA CITY ATTORNEY

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE CITY ATTORNEY'S OFFICE. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

1. Certificates of Participation/Bond Transcript

City-issued certificates of participation in bond measures. Record copy is in Finance Department. **Disposition:** *Discard after 5 years or if refinanced.*

2. City Attorney Opinions

Volumes contain the opinions of the City Attorney relative to legal questions referred by City departments. Records contain original requests from departments, legal opinions issued by City Attorney, memoranda, correspondence, reports, and other related materials. **Disposition:** *15 years.*

3. City Ordinances

Copies of the ordinances of the City of Santa Barbara. Record copy is in Administrative Services Department, City Clerk's office. **Disposition:** *Permanent.*

4. Departmental Files

Files contain correspondence, reports, and City Attorney opinions related to issues of interest to City departments, as well as to questions on which City departments need legal opinions.

Disposition: *Discard when superseded.*

5. Litigation Files (active and inactive)

Files contain correspondence, reports, memoranda, attorney notes, and other materials related to litigation cases. Current files are vital records.

(a) Formal judgments. **Disposition:** *Permanent*

All other associated case files. **Disposition:** *Discard after 5 years.*

6. Santa Barbara Municipal Code

The Santa Barbara Municipal Code contains the ordinances adopted by the City Council. Record copy is in Administrative Services Department, City Clerk's office. **Disposition:** *Discard when superseded.*

CITY OF SANTA BARBARA, CA COMMUNITY DEVELOPMENT DEPARTMENT

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE COMMUNITY DEVELOPMENT DEPARTMENT. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

ADMINISTRATION

1. Arts Commission Files

Files contain correspondence, reports, plans, and meeting agendas and minutes documenting the activities of the Arts Commission. **Disposition:** *Permanent*

2. Economic Development Files

Files contain reference materials on economic development in the city of Santa Barbara.

(a) Economic Forecast Reports. **Disposition:** *Permanent*

(b) Reference materials on economic development. **Disposition:** *Discard when no longer needed for reference.* (California Government Code (GC) 34090)

3. Excellence in Customer Service for Land Development Budget Program Files

Files contain reports, studies, correspondence, and records of quarterly Land Development Program Task Force meetings. Also included are Land Development Management Audit records. **Disposition:** *Permanent*

4. Excellence in Customer Service Task Force/Land Development Team Files

Files contain task force and team meeting minutes, training records, correspondence, reports, surveys, and other materials related to this program whose mission was improvement of the departmental budget process and departmental customer service. This was a pioneering effort in Community Development customer service and served as a pilot project that was used as a model by other jurisdictions. **Disposition:** *Permanent*

5. Project Files

Files contain correspondence, studies, reports, and other materials related to the annexation of Goleta, excellence in customer service program, and city creeks.

- (a) Records related to the attempted annexation of Goleta. **Disposition:** *Discard after 15 years or when no longer needed for reference.*
- (b) All other materials. **Disposition:** *Discard after 5 years or when no longer needed for reference.* (GC 34090)

6. Reference and Presentation Files

Files contain the reference and presentation materials of the department manager. **Disposition:** *Discard after 5 years or when no longer needed for reference.* (GC 34090)

BUILDING AND SAFETY

ADMINISTRATION/BUILDING OFFICIAL

7. Administrative Subject/Correspondence Files

Files serve as a reference for the Building Official and contain personnel information, forms, timesheets, correspondence from FEMA and other related materials.

- (a) FEMA Materials
 - (1) FEMA financial materials. **Disposition:** *Discard after 7 years.* (26 Code of Federal Regulations (CFR) 1.6001-1 and CCR § 19141.6)
 - (2) FEMA correspondence and related materials. **Disposition:** *Discard after 3 years.* (44 CFR 13.42)
- (b) All other materials. **Disposition:** *Discard after 2 years.* (GC 34090 and 34090.7)

8. Code Books and Technical Manuals

This is a reference file used to check on codes that applied at the time a building was constructed. Included are uniform building codes, plumbing and mechanical codes, administrative policies and other related materials. These are not city records. **Disposition:** *Retain until no longer needed for reference.*

9. Litigation Files

Files contain correspondence, official memoranda, notes, photographs and slides, letters of complaint, depositions and other legal documents, and other materials concerning litigation matters. Record copy is in City Attorney's Office. **Disposition:** *Discard after case is closed.*

10. Seismic Safety Bond Files

Files contain seismic safety bond claims for Santa Barbara commercial properties, maps, charts, reports, financial records, memoranda, bond statements, engineers' reports, and other materials related to the seismic retrofitting of commercial structures and residential structures with three or more units. The files document whether retrofits meet building codes.

- (a) Building and safety staff reports, correspondence and notes, as well as maps, charts, and other materials regarding whether seismic safety retrofits meet building codes.

Disposition: *Permanent.*

- (b) Financial records, including bond statements and materials documenting Seismic Safety Bond expenditures. Record copy is in Finance Department. **Disposition:** *Discard 7 years after project is completed and final payment is made and audited. (26 CFR 1.6001-1 and CCR §19141.6)*

11. Seismic Safety Program Files

Files contain newspaper clippings, correspondence, memoranda, reports, code information, maps, notices of building classification, workshop information, seismic revenue account information, and other materials used to track seismic retrofits to buildings in the city's downtown area.

- (a) Materials documenting the policies and actions of the Seismic Safety Program, including correspondence, memoranda, staff reports, notices of building classification, workshop information, records tracking seismic retrofits to buildings in the downtown area, and other related materials. Record copy is in Housing and Redevelopment, Redevelopment Program/Agency. **Disposition:** *Retain until no longer needed for reference.*

- (b) Duplicate maps, seismic revenue account information, correspondence, and other duplicate materials. Record copy for financial materials is in Finance Department. **Disposition:** *Retain until no longer needed for reference. (GC 34090.7)*

- (c) Reference information, including code information. **Disposition:** *Retain until no longer needed for reference.*

12. Seismic Safety Program Publicity Records

Materials include overhead transparencies, technical information reports, handouts, and slides and photographs of work in progress. **Disposition:** *Retain until no longer needed for reference.*

BUILDING INSPECTOR**13. Building Inspector Enforcement Case Files**

Files contain correspondence, notices of noncompliance, notices of violation, notices of administrative citations; appeal request letters, administrative appeal requests and final decisions; copies of permits, digital photographs, other materials that document violations, and orders of the Building Official regarding dangerous, substandard, or illegal structures. Current files are vital records. **Disposition:** *Discard 2 years after resolution of case.*

PLAN CHECK**14. County Assessor's Parcel Books**

Books contain maps of all city parcels and are used for reference by plan checkers. Record copy is in County Assessor's Office. This is not a city record. **Disposition:** *Retain until superseded or no longer needed for reference.*

RECORDS**15. Building and Safety Records Center Inventories**

Included are the Consolidated Planning File Inventory, Land Development File Inventory, MacKenzie Storage Inventory, Real Property File Inventory, and the Street File Inventory. The inventories list files stored in the Community Development Department Records Center, the MacKenzie Records Storage Center, and off-site records storage facility. **Disposition:** *Retain until superseded.* (GC 11011.15)

16. Cashier Journal Summary Reports

Reports document fees paid by the public for permits, copies of plans, and other materials. Also included are cash register receipts. **Disposition:** *Discard after 2 years.* (GC 34090.7)

17. Counter File Pulls (Records Center Log Sheets)

Files document every file pulled for the public at the Building and Safety Records Counter and contain information on the subject property address, requestor's contact information, and the type of record requested. **Disposition:** *Discard after 3 years.* (GC 34090)

18. Drawings

These are approved final drawings. Files for existing facilities are vital records. (Retain the preliminary drawings in the "Planning Files" until superseded or no longer needed for reference.) **Disposition:** *Permanent*

19. Drawings (oversize)

These are approved final oversized drawings. These drawings were too large to hang with the other approved drawings. Files for existing facilities are vital records. (Retain the preliminary drawings in the “Planning Files” until superseded or no longer needed for reference.)

Disposition: *Permanent*

20. Monthly Report of Building Statistics

Files document the activities of the Building and Safety Division. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

21. Permit Log Books

Books document the issuance of building permits (1902-1925). They contain information on properties for which building permits were issued, names of property owners, names of builders, street addresses, costs of improvements, dates permits granted, and comments about the projects.

Disposition: *Permanent* (Santa Barbara County Code (SBCC) 10-2.4)

22. Street Files (Permit/Enforcement Files)

Files contain building permit applications, correspondence, master applications, maps, copies of permits; building & safety and zoning enforcement documentation, including notices of noncompliance, administrative citations, administrative citation appeal requests and final decisions, Field Investigation Reports (FIR), photographs, and other materials that document violations; enforcement actions and orders of the Building Official regarding dangerous, substandard, or illegal structures; and Plan View Request forms that are used to process requests to view or copy plans containing the subject property. These files supersede and continue the “Permit Log Books.” Active files are vital records. **Disposition:** *Permanent* (SBCC 10-2.4)

23. Structural Calculation Files

Files contain structural calculations for the engineering of buildings concerning such matters as floor loads, weight bearing walls, size of rebar needed, and other related issues. **Disposition:** *Retain for life of the building plus 1 year or 10 years after construction is complete, whichever is longer.* (California Code of Civil Procedure (CCP) 337.1, 337.15, and 340)

HOUSING AND REDEVELOPMENT**24. Annual Report to State Controller**

This report describes the activities of the Redevelopment Agency during the fiscal year and provides information on financial matters of the Agency. Current report is a vital record.

Disposition: *Permanent.*

REDEVELOPMENT PROGRAM/AGENCY**25. Development Subject File**

Files contain correspondence, reports, studies, maps, and other materials related to property acquisition and management, relocation of property owners in redevelopment areas, and disposition of property. Current files are vital records. **Disposition:** *Permanent*

26. Redevelopment Agency Administration Formation Files

Files contain incorporation papers, bylaws, correspondence, reports, resolutions, and other materials documenting the formation of the Redevelopment Agency. These are vital records. **Disposition:** *Permanent*

27. Redevelopment Agency Agenda Packets

Packets contain meeting agendas and attached documentation. **Disposition:** *Permanent*

28. Redevelopment Agency Agendas (Finished)

These agendas are prepared immediately after agency meetings and document who attended, length of meeting, and resolutions passed. **Disposition:** *Permanent*

29. Redevelopment Agency Budgets and Financial Statements

These are budgets and financial statements for the Redevelopment Agency. **Disposition:** *Permanent*

30. Redevelopment Agency Meeting Minutes

These are the minutes for Redevelopment Agency meetings and special meetings. Community Development, Housing and Redevelopment, Redevelopment Program. **Disposition:** *Permanent*

31. Redevelopment Agency Plan File

File contains information on the Redevelopment plan of action, plan amendments, and plan implementation. Current plans are vital records. **Disposition:** *Permanent*

32. Redevelopment Agency Project Files

Files contain correspondence, memoranda, reports, studies, maps, photographs, plans, and other materials related to various redevelopment projects, including those involving schools and businesses in redevelopment areas. The files pertain to housing, demolition, land acquisition, and redevelopment by the Redevelopment Agency. Major projects include Central City, Paseo Nuevo retail expansion, and downtown retail revitalization. Current files are vital records. **Disposition:** *Permanent*

33. Redevelopment Agency Resolutions

These official resolutions of the Redevelopment Agency document agency actions. Current resolutions are vital records. **Disposition:** *Permanent*

34. Rental Housing Mediation Task Force Records

Records include contact information and statistical reports regarding clients served by this program, the purpose of which is to mediate rental housing disputes. The statistics are maintained in accordance with the requirements of contracts the City has with other municipalities to provide these services.

- (a) Intake Forms. The data on these forms is entered into an Access database. **Disposition:** *Retain for 5 years, then destroy.*
- (b) Statistical Reports. **Disposition:** *Monthly and Quarterly Reports: Discard after 5 years; Annual Reports: Retain for duration of Rental Housing Mediation Program plus 5 years.*

35. Seismic Safety Program Files

Files contain documentation of the Redevelopment Agency's involvement in the seismic safety program. They document money loaned by the Redevelopment Agency to downtown property owners to seismically retrofit their buildings and contain financial expenditure and repayment information, correspondence with property owners, staff reports, and other related materials.

- (a) Seismic safety bond files including seismic safety bond claims, bond statements, and seismic revenue account information. Record copy is in Finance Department. **Disposition:** *Discard 2 years after end of program and last payment. (GC 34090.7)*
- (b) Redevelopment Agency correspondence, memoranda, reports, and other related materials. **Disposition:** *Permanent*
- (c) Reference information including newspaper clippings and code information. **Disposition:** *Retain until no longer needed for reference.*

36. Tax Allocation Files

Files contain tax increment information, funding reports and related items. **Disposition:** *Permanent.*

HOUSING DEVELOPMENT PROGRAM

37. Affordable Housing Development Files

Files contain correspondence, maps, reports, and other materials that document project completion and financial assistance to developers by the Redevelopment Agency. Current files are vital records.

- (a) Project correspondence, staff reports and notes, and other materials documenting project policies and activities. **Disposition:** *Permanent*

- (b) Materials documenting housing costs and grant funding. **Disposition:** *Permanent.*
- (c) Duplicate maps, correspondence, reports, and other records maintained by other city departments. **Disposition:** *Discard after 2 years or when no longer needed for reference. (GC 34090.7)*
- (d) Compliance Monitoring Files. Records of housing developers' compliance with affordability requirements. **Disposition:** *Permanent.*
- (e) Individual Tenant Information. Rent rolls data. **Disposition:** *Discard after 2 years or when no longer needed for reference.*

38. HOME Fund Administrative File

Files contain administrative records concerning the HOME program, a federal funding program for housing, and contain reports, correspondence, financial records, notices, and other related materials. Current files are vital records.

- (a) Files involving any litigation, claim, audit, or other action. **Disposition:** *Retain until completion of the action and resolution of all issues or until the end of the most recent five year period, whichever is later. (24 CFR 92.508)*
- (b) All other files. **Disposition:** *Retain for the most recent 5 year period. (24 CFR 92.508)*

39. Project Agreements

These are project agreements for the Waterfront Park Hotel and Hostel projects. Record copy is in Community Development Department, Redevelopment Program/Agency. **Disposition:** *Retain 15 years after termination or completion and final payment. (CCP 337.15)*

HOUSING REHABILITATION LOAN PROGRAM

40. Housing Rehabilitation Loan Program and Project Files

Files contain financial records, correspondence, notices of completion, loan applications, records related to loans, and records of individuals who did not qualify for loans. Record copy of financial materials is in Finance Department.

- (a) Records related to loans, including photographs. **Disposition:** *Discard 5 years after loan is repaid.*
- (b) Records related to individuals who did not qualify for loans. **Disposition:** *Discard 2 years after disqualified.*

CDBG ADMINISTRATION PROGRAM**41. Community Development Block Grant Files**

Files contain reports, studies, correspondence, and other general reference information related to the CDBG program. Current files are vital records.

- (a) CDBG Files. **Disposition:** *Discard 5 years after expiration of the contract and any amendments, completion and resolution of the audit and/or any litigation, whichever is later.* (Housing and Urban Development (HUD) requirement)
- (b) CDBG files involving litigation, claims, or audit findings that extend beyond the initial five-year period. **Disposition:** *Retain records until all litigation, claims, or audit findings involving the records have been resolved.* (24 CFR Part 85)
- (c) CDBG files containing records regarding property acquired with grant funds. **Disposition:** *Discard 5 years after final disposition.* (Housing and Urban Development (HUD) requirement)
- (d) CDGB files containing records for any displaced person. **Disposition:** *Discard 5 years after the person has received a final relocation payment or until the loan has been repaid, whichever is longer.* (Housing and Urban Development (HUD) requirement)
- (e) Integrated Disbursement and Information System (IDIS) Logs. Logs of online drawdown submittals for distribution of funds to non-profit organizations that have been granted CDBG funds. **Disposition:** *Retain for 5 years after final grant payment.*

42. Community Development Block Grant Project Files (active)

Files contain reports, studies, correspondence, and other general reference information related to CDBG projects. Current files are vital records.

- (a) CDBG Files. **Disposition:** *Discard 5 years after expiration of the contract and any amendments, completion and resolution of the audit and/or any litigation, whichever is later.* (Housing and Urban Development (HUD) requirement)
- (b) CDBG files involving litigation, claims, or audit findings that extend beyond the initial five-year period. **Disposition:** *Retain records until all litigation, claims, or audit findings involving the records have been resolved.* (24 CFR Part 84)
- (c) CDBG files containing records regarding property acquired with grant funds. **Disposition:** *Discard 5 years after final disposition.* (Housing and Urban Development (HUD) requirement)

- (d) CDGB files containing records for any displaced person. **Disposition:** *Discard 5 years after the person has received a final relocation payment.* (Housing and Urban Development (HUD) requirement)

HUMAN SERVICES PROGRAM

43. Human Services Project Files

Files contain correspondence, reports, studies, and other materials related to the expenditure of city general fund monies for Human Services projects. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

PLANNING

44. Aerial Photographs

Aerial photographs document Santa Barbara's development status by showing changes over time to the built environment, particularly to the city's cultural and historical resources. The photographs are also used to document natural disasters such as floods and the 1969 Santa Barbara Oil Spill. Current aerial photographs are vital records. **Disposition:** *Permanent*

45. City Maps

Maps are used to document past land use patterns in Santa Barbara, as well as to plan future land use patterns. Included are a variety of first generation maps on Mylar, paper, and vellum, as well as a variety of reproducible and reproduced maps including blueprints, bluelines, sepias, electronic files, and photocopies. Current maps are vital records.

- (a) Master and general plan maps including the various versions of the Shoreline Master Plan. **Disposition:** *Retain one copy of each map permanently.*
- (b) Zoning maps including, zoning base, sectional zone, coastal zone, and land use maps. Included are special purpose zoning maps related to parking, open space, the downtown area, and other zones. **Disposition:** *Retain one copy of each map permanently.*
- (c) Downtown planning and redevelopment maps including those related to the Paseo, Las Positas, and the Presidio. **Disposition:** *Retain one copy of each map permanently.*
- (d) Maps related to particular uses such as the airport, schools, hospitals, and parks. Included are special purpose maps like hazard overlays. **Disposition:** *Retain one copy of each map permanently.*
- (e) Special district maps including water district maps. **Disposition:** *Retain one copy of each*

map permanently.

- (f) Transportation planning maps including those related to roads, freeways, and railroads.

Disposition: *Retain one copy of each map permanently.*

- (g) Cultural resource planning maps documenting the cultural resources of Santa Barbara.

Disposition: *Retain one copy of each map permanently.*

- (h) Olmsted/Chaney Plan (1924). **Disposition:** *Retain one copy of each map permanently.*

46. Reference Maps

These maps include oil field maps produced by the California Division of Mines and Gas, topography maps produced by the United States Geological Survey, and other maps produced by agencies of the county, state, and federal government. **Disposition:** *Retain while needed for reference.*

LONG RANGE PLANNING/SPECIAL STUDIES

47. General Plan Documents

Documents include reports, surveys, and plans related to the Santa Barbara General Plan. Current files are vital records. **Disposition:** *Permanent*

DEVELOPMENT REVIEW PROGRAM

48. Planning Commission Minutes and Resolutions

These minutes and resolutions document the meetings and actions of the Planning Commission. Community Development, Planning, Development and Design Review Program. Current files are vital records. **Disposition:** *Permanent*

49. Planning Files

These project files contain preliminary and final plans and maps (i.e., tentative subdivision maps and other maps) as well as project-related correspondence and planners' notes, petitions from neighbors, newspaper clippings, Planning Commission and Staff Hearing Officer Staff Reports, resolutions, photographs, environmental documentation, and other project-related materials. Current files are vital records. **Disposition:** *Permanent*

50. Special Project Files

These are planning files that relate to larger projects, rather than to single properties. Included are files relating to the Railroad Depot, Cypress Point, Entrada de Santa Barbara, Waterfront Park, Gibraltar Dam, and Rancho Arroyo. Current files are vital records. **Disposition:** *Permanent*

DESIGN REVIEW PROGRAM:

51. Architectural Board of Review, Single Family Design Board, and Historic Landmarks Commission Minutes

These minutes document the meetings and actions of the design review boards and commissions. Current minutes are vital records. **Disposition:** *Permanent*

52. Design Review Case Files

Files contain Architectural Board of Review, Single Family Design Board, and Historic Landmarks Commission Master Applications, maps, plans, and photographs for design alterations, case summaries, and other related materials. Current files are vital records.

- (a) Architectural Board of Review, Single Family Design Board, and Historic Landmarks Commission Master Environmental Checklists and Master Applications. **Disposition:** *Permanent*
- (b) All other materials. **Disposition:** *Insert original records into subseries (a) file; discard duplicate records 2 years after original approval date or after building permit is issued.*

53. Design Review Subject Files

Files contain reference and subject materials in support of design review and special projects including correspondence, reports, ordinance amendments, guidelines, complaints, and other related materials.

- (a) Ordinance Amendments and Special Study Files. **Disposition:** *Permanent*
- (b) All other materials. **Disposition:** *Discard after 5 years or when no longer needed for reference. (GC 34090)*

ENVIRONMENTAL REVIEW PROGRAM

54. Environmental Impact Reports

Environmental impact reports document the development of Santa Barbara and the impact of that development on the city's cultural and natural environment. The Master Environmental Assessment for the city is in this file. Current reports are vital records. **Disposition:** *Permanent*

55. Environmental Review Committee Files – 1976 - 1990

These archive files contain meeting minutes and agendas, correspondence, studies, reports, maps, and plans related to environmental assessments, and environmental documentation submitted to the committee in support of projects seeking approval. **Disposition:** *Permanent*

HISTORIC AND CULTURAL RESOURCES PROGRAM**56. City Landmarks Files**

Files contain maps, photographs, correspondence, reports, and other materials documenting historic city landmarks, designated city structures of merit, and potential city landmarks or structures of merit. Current file is vital record. **Disposition:** *Permanent*

57. Historic and Archaeological Resources Files

Files contain correspondence, Historic Landmarks Commission minutes, Archaeological and Historic Structures Reports, Phase I and Phase II reports related to cultural resources both above and below ground in Santa Barbara. Current files are vital records. **Disposition:** *Permanent*

58. Historic Survey Files

Binders contain historic resources inventory forms, site photographs, architectural and historic inventory forms, and architectural and historic worksheets documenting the inventory of all historic structures in the El Pueblo Viejo ("the old town") District of the city. **Disposition:** *Permanent*

59. Photographs of Historic Structures

Photographs show historic buildings that have been demolished, as well as current historic structures. They are used to review streetscape changes over time. **Disposition:** *Permanent*

60. Required Documentation of Buildings

These files document structures that have been demolished and include Phase I Historic Resources Reports, photographs of structures, floor plans, and other related materials. **Disposition:** *Permanent*

SIGN REVIEW PROGRAM**61. Sign Committee Minutes**

These minutes document the meetings and actions of the Sign Committee. Community Development, Planning, Development and Design Review Program. Current files are vital records. **Disposition:** *Permanent*

62. Sign Review Case Files

Files contain sign programs and sign applications (Master Application), sign drawings and plans, color chips, correspondence, and photographs documenting Sign Committee actions on specific projects.

- (a) Master Application, drawings and plans, and color specifications. **Disposition:** *Insert into Street File (Series No. 22) and retain permanently.*

- (b) All other materials. *Insert original records into subseries (a) file; discard duplicate records after 2 years.*

ORDINANCE INFORMATION/ENFORCEMENT PROGRAM

63. City Attorney Files

Files pertain to zoning enforcement cases referred to the City Attorney. They also provide background reference information on "recidivist" cases. Record copy is in City Attorney's Office.

Disposition: *Discard after 2 years or when no longer needed for reference. (GC 34090.7)*

64. Historic Zoning Records

These are early zoning maps and ordinances for the City of Santa Barbara. **Disposition:** *Permanent*

65. Staff Hearing Officer Minutes and Resolutions

These are the minutes of Modification Hearings. They document modifications in zoning and requirements. Current files are vital records. **Disposition:** *Permanent*

66. Zoning Enforcement Case Files

Files contain correspondence, reports, zoning enforcement staff notes, and other information related to zoning enforcement cases. Current files are vital records. **Disposition:** *Transfer to Street Files after case is closed.*

CITY OF SANTA BARBARA, CA FINANCE DEPARTMENT

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE FINANCE DEPARTMENT. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

ACCOUNTING DIVISION

1. Accounting Reports

These reports are microfilmed deduction registers. Current reports are vital records.

Disposition: *Discard 7 years after the fiscal year to which the records relate or when no longer needed for reference. (26 CFR 1.6001-1 and CCR §19141.6)*

2. Accounts Payable

Files document vendor accounts with City departments and the payment of vendor invoices.

Current file is a vital record. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard. (26 Code of Federal Regulations (CFR) 1.6001-1 and California Code of Regulations (CCR) §19141.6)*

3. Adopted Budget Reports

These General Ledger reports contain the original adopted budget transferred from the budget system to the general ledger on July 1 of each year and document adopted revenues and appropriations for the current fiscal year. Current fiscal year adopted budget report is a vital record. **Disposition:** *Discard 5 years after the fiscal year to which the records relate or when no longer needed for reference. (26 CFR 1.6001-1 and CCR §19141.6)*

4. Auditor Reports

These are annual reports of the City Auditor for the City of Santa Barbara. **Disposition:** *Permanent*

5. Bank Reconciliations

These are monthly reconciliations of bank accounts to make sure all monies are accounted for. Current reconciliations are vital. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard. (26 CFR 1.6001-1; CCR §19141.6)*

6. Capital Project Files

Files contain financial reports concerning City capital projects. **Disposition:** *Permanent*

7. Community Development Block Grant (CDBG) Files

Files document the distribution of Community Development Block Grant funds and contain agreements, tax information, correspondence, and reports. Record copy of grant agreement is in Administrative Services Department, City Clerk's Office. Current files are vital records.

- (a) CDBG Agreements. **Disposition:** *Discard 5 years after expiration of the contract and any amendments or upon completion and resolution of an audit and/or any litigation, whichever is later.* (Housing and Urban Development (HUD) requirement)
- (b) Records for property acquired with grant funds. **Disposition:** *Discard 5 years after final disposition.* (Housing and Urban Development (HUD) requirement)
- (c) Records regarding any displaced person. **Disposition:** *Discard 5 years after the person has received a final relocation payment.* (Housing and Urban Development (HUD) requirement)

8. Comprehensive Annual Financial Reports

Reports contain financial statements, auditor's letters, and block grant statements. **Disposition:** *Permanent*

9. Financial System Revenue Reports

Reports document revenue taken in by the City. Reports for current and prior year are vital records. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

10. Fixed Asset Files

Files contain correspondence, reports, data, and related information on the City's fixed asset funds (i.e., what assets exist in City departments from investments, revenues, property, equipment, and other sources). This is a vital record. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1, CCR §19141.6, and GC 24051)

11. General Ledger Journal Vouchers

General ledgers document all movement of moneys between City funds. This is a vital record. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.*

(26 CFR 1.6001-1 and CCR §19141.6)

12. Grant Files (closed)

Files document closed grants and contain correspondence, agreements, reports, and other related information.

- (a) Grant agreement approved by City Council. Record copy is in Administrative Services Department, City Clerk's Office.
 - (1) Grant Agreement. Record copy in City Clerk's Office. **Disposition:** *Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three year period, whichever is later. (14 CFR 151.55; 24 CFR 570.490; 28 CFR 66.42; 44 CFR13.42)*
 - (2) All financial and programmatic records, supporting documents, and statistical records, relating to the administration and expenditure of U. S. agency grant monies. Includes annual and quarterly reports, correspondence, purchase orders, invoices, and other financial documentation chronicling expenditure of federal funds. Record copy in Finance. **Disposition:** *Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three year period, whichever is later. (14 CFR 151.55; 24 CFR 570.490; 28 CFR 66.42; 44 CFR13.42)*
- (b) Grant agreements not requiring City Council approval. Record copy is in originating department.
 - (1) Grant Agreement. Record copy in originating office. **Disposition:** *Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three year*

period, whichever is later. (14 CFR 151.55; 24 CFR 570.490; 28 CFR 66.42; 44 CFR13.42; GC 34090)

- (2) All financial and programmatic records, supporting documents, and statistical records, relating to the administration and expenditure of federal grant monies. Includes annual and quarterly reports, correspondence, purchase orders, invoices, and other financial documentation chronicling expenditure of federal funds. Record copy in Finance. **Disposition:** *Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three year period, whichever is later.* (14 CFR 151.55;24 CFR 570.490; 28 CFR 66.42; 44 CFR13.42; GC 34090)

13. Medicare Quarterly Reports

Reports submitted to the Social Security Administration and the U.S. Department of Health and Human Services showing employee earnings on which payroll deductions for social security and medicare are based. **Disposition:** *Destroy 4 years after due date of tax return period or the date tax is paid, whichever is later.* (26 CFR 31.6001-1)

14 Open Contracts Issued Files

Files document open contracts issued by the City for construction. Included is information about the contractor, payment information, a copy of the contract, and other related information. For contracts approved by City Council, record copy is in Administrative Services Department, City Clerk's Office. For contracts not requiring City Council approval, record copy is in originating department. **Disposition:** *Discard after 2 years or when no longer needed for reference.* (GC 34090.7)

15. Operational Reports

Files contain reports regarding utility billing, business licenses, water consumption, open purchase orders, Harbor and Airport transactions, and other operational matters. **Disposition:** *Discard after 5 years or when superseded.* (GC 34090)

16. Payroll Check Registers

The payroll check registers are a list containing number, amount, and employee name of every payroll check issued, as well as benefits information. **Disposition:** *Discard 3 years after the fiscal year to which these records relate.* (29 CFR 516.5)

17. Payroll Checks (canceled)

These are payroll checks for the City of Santa Barbara. Also included are travel expense and group benefit cancelled checks. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

18. Time Cards

The time cards document the hours worked by City employees. Current time cards are vital records. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1, 29 CFR 516.5, CCR §19141.6, and California Labor Code 1174)

19. Trial Balance Reports

Reports are produced monthly and show the probable balance of accounts at the end of the fiscal year based on monthly expenditures from City accounts. Reports for current and prior year are vital records. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

20. Utility Billing and Accounts Receivable

These files contain tenant billing records, continuous service agreement forms, leak adjustments, returned check information, billing updates from other departments, water account update forms, and month-end reports related to utility usage. Current records are vital. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1, CCR §19141.6, and California Public Utilities Commission Resolution #A-4691)

21. W-2 Forms

Copies of the W-2 forms provided to employees for income tax and other reporting purposes. Includes distributed and undistributed W-2's. **Disposition:** *Destroy 4 years after end of the fiscal year to which the records relate, or after tax is paid, whichever is later.* (26 CFR 31.6001-1)

22. Warrant Register

Registers are computer generated reports that contain information on warrants issued by the City in response to vendor claims. The registers contain warrant (check) numbers, vendor numbers, vendor names, warrant dates, and warrant amounts. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1, CCR §19141.6, and GC 26907)

23. Warrants

These are canceled warrant vouchers (accounts payable checks) for payment of the City's creditors. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

24. Year-End Reports

Reports document moneys actually expended during the fiscal year by City departments. Current report is a vital record. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

ADMINISTRATION DIVISION

25. Bond Files

Files document the City's bonded indebtedness. Most of the materials relate to Water Revenue Bonds and Sewer Bonds. **Disposition:** *Permanent*

26. Bond Issue Official Transcripts

Binders contain bonds and certificates of participation for City bond issues. This is a vital record. **Disposition:** *Permanent*. (GC 26907.1 and California Code of Civil Procedure 336a)

27. Bond Official Statements

These are official statements of bond issues and certificates of participation (statements to brokers that sell City bonds). This is a vital record. **Disposition:** *Permanent*. (GC 26907.1 and CCP 336a)

28. Bond Redemption Ledger

Ledger sheets contain bond holder names and credit and balance information. **Disposition:** *Permanent*

29. City of Santa Barbara Annual Reports

These are annual reports of financial transactions and activities for the City of Santa Barbara. **Disposition:** *Permanent*

30. Department Subject Files ("Department Miscellaneous Files")

Files contain correspondence, reports, notes, data, and other information regarding City departments' financial issues. **Disposition:** *Discard after 5 years or when no longer needed for reference*. (GC 34090)

31. Finance Committee Action Agendas

These agendas document the action taken by the Finance Committee (a permanent, standing subcommittee of the City Council) on Committee agenda items. **Disposition:** *Permanent*

32. Grants and Propositions

Files document funds received and expended resulting from grants and propositions and include correspondence, financial data, grant applications, proposition information, reports, and other related information. Active grant materials are vital records. **Disposition:** *Discard at end of proposition or grant period plus 7 years*. (29 CFR 1470.42, 26 CFR 1.6001-1, and CCR §19141.6)

33. Services, General, Subject Files

Files contain correspondence, reports, studies, and duplicate agreements related to franchises, cable and government access television, and other general issues. For records approved by City Council, the record copy is in the Administrative Services Department, City Clerk's Office, or in various other City departments. **Disposition:** *Discard after 2 years*. (GC 34090 and 34090.7)

34. Tax Rate Volumes

Volumes provide information on the City's tax rates. Current volumes are vital records.

Disposition: *Permanent*

35. Two-Year Financial Plan and the Mid-Cycle Budget Addendum Documents

These are the published City budget documents. Current budget is a vital record. **Disposition:** *Permanent per department policy.*

ENVIRONMENTAL PROGRAMS

36. Project Files

Files contain correspondence, memoranda, reports, notices, maps, plans, photographs, phase I and II site assessments, and other materials related to hazardous materials contamination and cleanup, the removal of leaking storage tanks, solid waste complaint and response, vector control, waste soil grants, asbestos assessment and removal, permitting, and other related issues. Record copy for reports, contracts, and agreements approved by the City Council is in the Administrative Services Department, City Clerk's Office; record copy for financial records is in the Finance Department. Current files are vital records.

- (a) Asbestos assessment and removal records. **Disposition:** *Retain for 30 years, then discard. (40 CFR 763.121)*
- (b) Solid waste permit and contract records. **Disposition:** *Retain 2 years after expiration of the permit or contract, then discard. (Santa Barbara County Code 17-13)*
- (c) Duplicate contracts, agreements, reports, bid specifications, purchase orders, maps, plans, financial records, and other duplicate records. **Disposition:** *Retain until project completion plus 5 years, then discard. (40 CFR 60.153, 40 CFR 122.21, 40 CFR 270.10, 40 CFR 280.45, 40 CFR 372.10, 40 CFR 403.12, California Health and Safety Code (HSC) 25200.3, and GC 34090.7)*
- (d) Engineering Division correspondence, memoranda, notes, photographs, notices of completion, and site assessments. **Disposition:** *Permanent*

37. Project Reports

These are environmental impact and assessment reports prepared in association with environmental projects. Many of these reports were prepared by outside consultants.

Disposition: *Permanent*

GENERAL SERVICES**3638. Bids**

Files contain records documenting bid awards including requests for proposal, correspondence, award letters, and both successful and unsuccessful bids. Current bids are vital records.

- (a) Unaccepted bids and associated correspondence and supporting materials. **Disposition:** *Discard after 5 years.* (GC 26202.1)
- (b) Successful bids and associated correspondence and supporting materials. **Disposition:** *Discard 10 years after completion of project.* (CCP 337.15; CCP 337.1)

3739. Bids (opened)

Files contain bids that have been opened, but not awarded. All bid documentation, including requests for proposal, correspondence, award letters, and both successful and unsuccessful bids is also enclosed in the files. Current bids are vital records.

- (a) Unaccepted bids and associated correspondence and supporting materials. **Disposition:** *Discard after 10 years.* (GC 26202.1)
- (b) Successful bids and associated correspondence and supporting materials. **Disposition:** *Discard 10 years after opening of bid.* (CCP 337.15; CCP 337.1)

3840. Cash Purchase Orders

These are purchase orders for most purchases of products and services whose cost is under \$500. Current files are vital records. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

3941. Central Stores Supplies Inventory

Inventory contains listing of supplies carried by Central Warehouse; includes Issues (Requisitions), Slips, and Claims. . **Disposition:** *Discard after 5 years.* (GC 24051)

4042. Department Files

These files document interactions between City departments and the Purchasing Division and include correspondence, notes, and other related information. **Disposition:** *Discard after 5 years or when superseded.* (GC 34090)

4143. Proof of Insurance Files

Files document that vendors have submitted proof of insurance and include correspondence, insurance certificates, and other related materials. This is a vital record. **Disposition:** *Discard 2 years after expiration of vendor agreement.* (GC 34090)

4244. Purchase Orders

Files contain pink copies of purchase orders produced by City departments for buying products

and services. Current files are vital records. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

4345. Quick Quotes

These are requests for quotation from three vendors for each purchase of products and services totaling \$2,500-\$25,000. Current Quick Quotes are a vital record. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (Santa Barbara Municipal Code (SBMC) 4.52.060)

4446. Requests for Proposals for Upcoming Bids

These are requests for proposals for bids that have not yet been opened. This is a vital record.

(a) Unaccepted bids and associated correspondence and supporting materials. **Disposition:** *Discard after 5 years.* (GC 26202.1)

(b) Successful bids and associated correspondence and supporting materials. **Disposition:** *Discard 10 years after completion of project.* (CCP 337.15; CCP 337.1)

4547. Vendor Catalogs

These are catalogs for products sent to General Services by vendors. This is not a City record. **Disposition:** *Discard when superseded or when no longer needed for reference.*

RISK MANAGEMENT

4648. ACCEL Files

These files document the City's participation in a risk-sharing pool of self-insured entities and contain board minutes, information related to premiums and coverage, administrative procedures, and bylaws. This is a vital record. **Disposition:** *Discard 20 years after expiration, termination, or cancellation.*

4749. California Occupational Safety and Health Administration ("Cal OSHA") Compliance Program Records

Files contain correspondence, reports, notes, investigation, inspection, and other information documenting Santa Barbara's compliance with Cal OSHA safety regulations. This is a vital record.

(a) Investigation and inspection materials. **Disposition:** *Discard after 7 years.* (LC 6429)

(b) Correspondence, reports, staff notes, and other information documenting compliance with Cal OSHA safety regulations. **Disposition:** *Discard when superseded.* (29 CFR 1910.1200)

4850. Financial Files

Files contain vendor invoices and other related information and document payment by Risk Management. Record copy is in Finance Department, Accounting Division. **Disposition:**

Discard after 2 years. (GC 34090.7)

4951. Fix-It Files

Files contain computer forms documenting calls involving reports of defects on City property.

Disposition: *Discard 4 years after repair of defect. (CCP 337.1 and CCP 343)*

5052. Incident Files

Files contain reports of incidents (accidents, injuries, or damage to persons and/or property) on City property that may result in claims against the City. Current files are vital records.

(a) Reports pertaining to incidents in which a claim is filed against the City. **Disposition:** *Discard report 5 years after the claim is resolved. (CCR §14307, CCP 340, and GC 25105.5)*

(b) Reports pertaining to incidents in which no claim is filed. **Disposition:** *Discard after 5 years. (CCR §14307, CCP 340, and GC 25105.5)*

5153. Insurance Policies

Files contain various insurance policies for City property. Current policies are vital records.

Disposition: *Permanent*

5254. Insurance Program Files

This subject file contains insurance-related information such as inventories of the City's fine art, correspondence with insurance providers, damage reimbursement claims, and appraisals of City property.

(a) Inventories of City's fine art for insurance purposes. Current list is a vital record.
Disposition: *Retain until superseded.*

(b) Insurance appraisals of City property. **Disposition:** *Retain 7 years after the fiscal year to which the records relate, then discard. (26 CFR 1.6001-1 and CCR §19141.6)*

(c) Correspondence with insurance providers and other insurance-related materials.
Disposition: *Discard 5 years after expiration of coverage. (California Insurance Code (CIC)10508.5, CCP 339, and GC 24051)*

5355. Liability Claim Schedules

These schedules show the status of damage claims against the City. Current files are vital records. **Disposition:** *Permanent*

5456. Liability Files

Files contain correspondence, claims, reports, investigative information, and other information documenting claims filed against the City for financial compensation for defects in City property (i.e., sewer backups, broken water mains, and malfunctioning traffic signals) that caused injury to persons or property. Current files are vital records. **Disposition:** *Retain until case is closed plus 5 years, then discard. (GC 25105.5, CCP 337.1, and CCP 340)*

5557. Litigation Files

Files correspondence, reports, investigative records, notes, claims and other materials documenting claims against the City that have progressed to lawsuits against the City. Current files are vital records. **Disposition:** *Discard 5 years after final action on claim.* (GC 25105.5)

5658. Safety Training Records

Files contain correspondence, reports, notes, and other information documenting the City's compliance with Cal/OSHA training safety orders. **Disposition:** *Retain for life of program or until superseded; then discard.*

5759. Workers' Compensation Files

Files contain correspondence, claims, reports, notes, and other materials documenting workers' compensation claims against the City. Current files are vital records. **Disposition:** *Permanent.* (29 CFR 1904.4 and 6, GC 25105.5, LC 5500.5)

5860. Workers' Compensation Information Files

Files contain the forms and other information needed to administer the City's workers' compensation program. **Disposition:** *Permanent.* (GC 34090)

TREASURY**5961. Automatic Payment Service Applications and Agreements**

These are applications to have the City automatically deduct utility payments from City residents' checking accounts. Current agreements are vital records. **Disposition:** *Retain until expiration of agreement plus 2 years, then discard.* (GC 34090)

6062. Broker Files

Files contain broker/bank statements, correspondence, reports, and other information regarding brokers used by the City for its investments. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

6163. Business License and Utility Users' Tax Batch Files

Files document the processing of business license applications and renewals, and contain business license applications, payment records, correspondence, utility users' tax, and other related information. Current files are vital records. **Disposition:** *Discard 5 years after end of fiscal year to which the records relate.*

6264. Cash Receipt Records

Folders contain daily information on deposits and fund transactions, including cash reconciliations and Treasury Receipts. Current records are vital. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

6365. Franchise Agreements

Files include current franchise agreements and historical negotiations and background information including correspondence, reports, notes, and other related information. Record copy of franchise agreement is in Administrative Services Department, City Clerk's Office. Current agreements are vital records.

- (a) Franchise Agreements. **Disposition:** *Retain for life of agreement plus 2 years.* (GC 34090)
- (b) Correspondence, staff reports and notes, and other background information on historical franchise negotiations. **Disposition:** *Permanent*

6466. Investment Files

Files contain financial reports, investment policies, portfolio master summaries, audit records, prospecti, and other information documenting the City's investments. **Disposition:** *Discard 10 years after end of fiscal year to which the records relate.*

6567. Licenses and Permits Subject File

Files contain correspondence, reports, reference information, and other materials on peddlers, street vendors, firearms, carnivals and circuses, and other permit and tax related issues. Included are records related to dance permits, fire permits, massage permits, taxi cab permits, towing permits, and private patrol registration. Current permit and private patrol registration files are vital records. **Disposition:** *Discard after 5 years or when superseded.* (GC 34090)

6668. "MBIA" Audit Files

MBIA is a private company that verifies that major users are paying the correct utility users tax and sales tax to the City. Included in the files is correspondence, reports, financial statements, notes, and other related materials. **Disposition:** *Discard after 5 years.* (SBMC 4.24.150)

6769. Parking and Business Improvement Area Tax Files

Files document the payment of parking and business improvement area tax by City businesses and include correspondence, reports, and financial information. Current files are vital records. **Disposition:** *Discard after 3 years.* (SBMC 4.36.180)

6870. Parking District Records

Files contain reports, correspondence, data, Council resolutions, City Attorney opinions, parking bond documentation, and other materials that document the establishment of parking districts. **Disposition:** *Permanent*

6971. Transient Occupancy Tax Files

Files contain invoice copies, payment records, and other materials documenting the payment of bed taxes by Santa Barbara hotels, motels, and other such establishments. Current year files are vital records. **Disposition:** *Discard after 5 years.* (SBMC 4.08.150)

7072. Treasury Receipts

These are treasury receipts and backup documentation for petty cash, sales tax revenue, traffic safety revenue, utility user tax revenue, franchise tax revenue, and court fines taken in by the City. **Disposition:** *Discard after 5 years.* (GC 27001)

7173. Utility Tax Exemption Renewal Applications

These are applications by City residents/businesses for exemptions to City utility taxes. Current files are vital records. **Disposition:** *Discard after 3 years.* (SBMC 4.24.150)

7274. Water Payment Records (Stubs)

These are the stubs for the City's water bills to residents. **Disposition:** *Discard after 1 year.* (CA PUC Res. #A-4691)

OBSOLETE RECORDS**7375. Airport Files**

Files contain financial statements, federal aid documents, resolutions, correspondence (some from 1929 regarding the airport property), car rental agency information, parking and construction files, Airport Commission recommendations files, a narrative on airport property (1940s), airport chronologies (1940-1959), lease information (1940s), a federal aviation regulations file, Airport Terminal Steering Committee files (1970), and Airport Clear Zone files. **Disposition:** *Permanent*

7476. Assessment Records

Files contain correspondence, project prospecti, project descriptions, bond receipts, project resolutions, and refund schedules. **Disposition:** *Permanent*

7577. Assessment Roll Index

This volume is an index to the Assessment Rolls. **Disposition:** *Permanent*

7678. Assessment Rolls (Delinquent)

The Delinquent Assessment Rolls provide information about City property owners, their property, and taxes owed. **Disposition:** *Permanent*

7779. Assessment Rolls (Parking District)

The Parking District Assessment Rolls provide information about the property owners in the assessment district, their property, and the taxes owed. **Disposition:** *Permanent*

7880. Fire/Police Pension Information History File

Files contain rosters of employees, salary schedules, claims, individual pension cases, correspondence, retirement worksheets and information, and other related information. **Disposition:** *Permanent*

CITY OF SANTA BARBARA, CA FIRE DEPARTMENT

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE FIRE DEPARTMENT. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

1. Administrative Subject Files

Files contain correspondence, reports, Council agendas and agenda reports, fire inspection logs, fire master plans, battalion chiefs monthly reports, and other materials related to fire prevention, fire suppression, and administrative topics such as accident investigations (police reports, accident reviews), annexation, Christmas trees, fire hydrants, and hazardous materials. Also, records related to the administration of the Office of Emergency Services.

- (a) Battalion Chiefs Monthly Reports. **Disposition:** *Permanent*
- (b) Disaster proclamations, committee and organization records, program and policy correspondence including incoming and outgoing letters and memoranda pertaining to the formulation, planning, and implementation of the mission, policies, programs, operations, and projects of the Office of Emergency Services. **Disposition:** *Permanent*
- (c) Equipment information, budget for which record copy is in Finance Department, emergency procedures, Emergency Operations Center cards for city employees, and other general administrative records. **Disposition:** *Discard after 2 years or when superseded.* (GC 34090)
- (d) Other records. **Disposition:** *Retain until superseded.*
- (e) Accident Investigations – Vehicle. **Disposition:** *Permanent*

2. Building Plans for Fire Stations

Each fire station has a set of as-built plans for that station. Record copy is in Public Works Department, Engineering Division. **Disposition:** *Retain for life of fire station then discard.*

3. Daily Report of Fires

Reports document fire incidents in the city, including information on when and where the fire occurred, what caused the fire, and how the Fire Department responded. **Disposition:** *Permanent*

4. Fire Incident Reports

Reports continue the Daily Report of Fires and report on fire incidents in the city, as well as where and when the fire occurred, how the Fire Department responded to the fire, and what caused the fire. Since 1991, these reports have been maintained in electronic format.

Disposition: *Permanent*

5. Fire Investigation Files

Files document investigations into what or who caused fire incidents and contain correspondence, inspector notes, photographs, reports, and other related materials. Current files are vital records. **Disposition:** *Permanent*

6. Fire Prevention Records

Files contain occupancy clearances which document that buildings have cleared inspection and may be occupied. **Disposition:** *Retain for duration of building occupancy plus 3 years; then discard.* (1994 Uniform Fire Code (UFC), 103.3.4)

7. Historical Files

Files contain information on historical disasters, superseded disaster evacuation plans, Y2K planning, supply contracts, and other materials related to the activities of the Office of Emergency Services.

- (a) Information on historical disasters, Y2K planning, and staff correspondence and reports concerning policy and action decisions. **Disposition:** *Permanent*
- (b) Superseded disaster evacuation plans and supply contracts, and routine correspondence including incoming and outgoing letters pertaining to the normal and routine administrative functions of the Office. **Disposition:** *Discard after 2 years or when no longer needed for reference.* (GC 34090)

8. License Files

State licenses for hospitals and rest homes. **Disposition:** *Retain for life of institution plus 2 years; then discard.*

9. Log Books

Logs are maintained by each fire station and document the daily activities at each station, including information on fires fought and fuel purchased. **Disposition:** *Permanent*

10. Manual of Operations

The Manual of Operations provides instructions for the handling of each piece of fire department equipment. It has been superseded by the "Standard Operating Procedures." **Disposition:** *Permanent*

11. Occupancy Files

Files document fire inspections, fires, the presence of hazardous materials, and other topics for every building in the city that has commercial activity or three or more residential units. Each fire station in the city retains Occupancy Files for the surrounding area. Current inspection information is maintained in a computer database (FireHouse). Current files are vital records.

(a) Chemical inventories. **Disposition:** *Discard 30 years after last use of materials.* (29 Code of Federal Regulations (CFR) 1910.1200(g); 29 CFR 1910.1020(d))

(b) All other materials. **Disposition:** *Retain for life of structure, then discard.* (California Government Code (GC) 34090)

12. Personnel Medical Records

Files contain medical records documenting on-the-job injuries and other medical matters related to fire department employees. This is a vital record. **Disposition:** *Retain until employee termination or separation plus 30 years; then discard.* (5 CFR 293.511)

13. Photographs and Historical Clippings

Photographs and clippings document the Fire Department's history and include materials related to the centennial celebration of the Washington Fire Company #2 (predecessor of the City Fire Department), the use of the old fire steamer in parades, and other fire department and personnel activities and events. **Disposition:** *Permanent*

14. Project Files

Files contain information concerning any commercial, multi-unit (3 or more units) residential, and some single-family residential structures proceeding throughout the planning and building permit process in Santa Barbara. Included are plans, reports, and other related materials. **Disposition:** *Retain for life of structure; then discard.* (CA Health and Safety Code 19850)

15. Sprinkler and Alarm Plans

Plans depict sprinkler and fire alarm systems for new construction. **Disposition:** *Retain for life of structure, then discard.* (1994 UFC, 103.3.4)

16. Timesheets

Final Fire Department payroll (yellow) timesheets signed by Employee and Supervisor. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.*

CITY OF SANTA BARBARA, CA LIBRARY DEPARTMENT

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RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

1. Cash Receipts

Receipts for money received from patrons for overdue book fines and other fees. **Disposition:** *Discard after 2 years.* (California Government Code (GC) 34090)

2. Encumbrance and Expenditure Reports

Reports documenting the library's encumbrances and expenditures. Record copy is in Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

3. Gift Fund

Binder contains original gift forms, copies of checks, and other information on gift fund expenditures. **Disposition:** *Discard 7 years after end of fiscal year to which the records relate.* (26 Code of Federal Regulations (CFR) 1.6001-1; California Code of Regulations (CCR) 19141.6)

4. Gifts Files

Files document gifts of money made to the library by the Friends of the Library, the Library Foundation, and other donors. Files also document purchases of materials made by the library with gift money. Files are vital records. **Disposition:** *Permanent*

5. Inter-Library Loan Borrowed Item Files

Files document items borrowed from other libraries. Files for current year are vital records. **Disposition:** *Discard after 5 years.* (GC 34090)

6. Inter-Library Loan Cancellations

Files document inter-library loan request cancellation notices sent to patrons. **Disposition:** *Discard after 2 years.* (GC 34090)

7. Inter-Library Loan Files

Files document the return of loans made by Santa Barbara Public Library System to other libraries. These files only pertain to loans made outside the cooperative system that includes libraries in San Luis Obispo, Santa Barbara, and Ventura counties. Pre-audit files are vital records. **Disposition:** *Discard after 5 years.* (GC 34090)

8. Library Board of Trustees Meeting Minutes

Minutes of the Library Board of Trustees meetings. Current minutes are vital. **Disposition:** *Permanent*

9. Library History File

Files document the history of library facilities and services. **Disposition:** *Permanent*

10. Monthly and Yearly Reports

Reports document activities of library systems including circulation, registration, reference status, and other activities. **Disposition:** *Permanent*

11. Monthly Circulation Statistics Report

Reports are printed monthly from a database and distributed to other libraries in the system. **Disposition:** *Discard after 1 year.*

12. Order Files

Files document book, audiotape, videotape, and CD purchases by the library and contain purchase orders, invoices, vouchers, packing lists, and other materials. Record copy of purchase orders is in Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

13. Payroll Reports

Payroll logs track the hours worked by full-time and part-time employees and the balance of sick time remaining for each employee. **Disposition:** *Discard after 3 years.* (29 CFR 516.5 and Labor Code 1174)

14. Photocopy Requests

Files document photocopies of items received from other libraries in response to inter-library loan requests. **Disposition:** *Discard after 3 years.* (GC 34090)

15. Requisition Log

Binder contains the original requests for purchase of services and materials. **Disposition:** *Discard after 3 years.* (GC 25501.5)

16. Treasury Receipts

Receipts for money received by the library from all sources. Record copy is in Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

OBSOLETE RECORDS

17. Library Card Applications Book (“Ledger”)

Bound volume contains documentation for library card applications including application dates and contact information for applicants. **Disposition:** *Permanent*

18. Library Expenditures Ledger ("Record")

Record of library expenditures. **Disposition:** *Permanent*

CITY OF SANTA BARBARA, CA PARKS AND RECREATION DEPARTMENT

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE DEPARTMENT OF PARKS AND RECREATION. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

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~~ADMINISTRATIVE SERVICES~~ ADMINISTRATION DIVISION

1. Administrative Staff Meeting Agendas and Minutes

These are the agendas, agenda item documentation, and minutes for administrative staff meetings. **Disposition:** ~~Permanent~~ Discard when 2 years old or sooner if purpose is served.

2. Advisory Committee Binder

Binder contains listings of committee appointees, member contact information, member appointment and term expiration information, and policies that govern committees. **Disposition:** *Discard when superseded.*

163. Blueprints

These are the conceptual construction blueprints for completed parks and recreation facility projects. Some of these are as-built plans. The as-built plans for existing park facilities are vital records. **Disposition:** *Permanent*

~~3. Alcohol Ban on Beaches Binder~~

~~Binder contains information that documents departmental implementation of the state law that bans alcohol use on California's beaches and includes a copy of the statute, correspondence, and other related materials. **Disposition:** *Discard after 5 years.* (California Government Code (GC) 68152)~~

~~4. City/County Regional Issues Binder~~

~~Binder contains duplicate meetings minutes and agendas, reports, recommendations, correspondence, and other materials related to a Parks and Recreation study that identified areas throughout Santa Barbara County where the Parks and Recreation Department could develop activities for the City. **Disposition:** *Discard after 2 years.* (GC 34090.7)~~

5. Elings Park Annexation Binder

~~Binder contains duplicate correspondence, reports, and other documentation of the Elings Park Annexation by the City. **Disposition:** Retain while needed for reference, then discard.~~

64. Front Country Trails Multi-Jurisdictional Task Force Files

Records include agendas, documentation for agenda items, minutes, and other related materials for meetings of the Front Country Trails Multi-Jurisdictional Task Force.

Disposition: *Permanent.*

5. Grant Files

Files contain grant documents and all supporting documents: applications, correspondence, reports, proposals, grant documents, contracts, project files, requests for reimbursement, invoices, etc. **Disposition:** Retain 3 years after grant project is completed and final payment is made. (24 CFR 85.42 and CG 34090)

6. Joint Use Committee Meeting Files

Records include agendas, documentation for agenda items, minutes, and other related materials for meetings of the Santa Barbara School District Joint Use Committee and the Santa Barbara City College Joint Use Committee.

Disposition: *Permanent.*

7. Marketing and Publicity Materials Files

Files contains publicity materials such as program guides, flyers, newsletters, announcements, advertisements and final product samples of every marketing project undertaken by Marketing and Communications. **Disposition:** *Permanent*

78. Parks and Recreation Commission Minutes

These are Parks and Recreation Commission meeting packets, including agendas, minutes, documentation for agenda items, and other related materials. **Disposition:** *Permanent*

89. Parks and Recreation Department Files

Files contain correspondence, reports, notes, proposal, parks and recreation agreements, park master plans, and other materials relating to parks and recreation issues such as park expansion, Chase Palm Park, Las Positas Park, the sSkateboard pPark, and golf.

- (a) Organizational and Project Files. Files containing administrative directives, policy studies and reports, formal memoranda, reports of special advisory committees and task forces, and similar records documenting the formulation and implementation of projects, policies, programs, and operations of the Parks and Recreation Department. **Disposition:** *Permanent*
- (b) Administrative Procedural Files. Administrative announcements, routine correspondence and memoranda, statements, reports, and other records pertaining to office procedures

and distributed within the department or among City offices. **Disposition:** *Retain in office 5 years or until superseded.*

10. Personnel and Background Files

Files document background checks conducted on former employees (Park Rangers) and contain correspondence, notes, reports, and other related materials. This is a vital record. **Disposition:** Discard 25 years after employee termination or separation. (29 CFR 1627.3 and GC 12946)

11. Personnel Background Files

Files document background checks conducted on current employees (Park Rangers) and contain correspondence, notes, reports, and other related materials. This is a vital record. **Disposition:** Discard 25 years after employee termination or separation. (29 CFR 1627.3 and GC 12946)

Business Services Section

9. Contract Files

~~Files contain agreements, memoranda of understanding (i.e., with employee union), and contracts with other agencies and private non-profit organizations that provide a service to the City for in-kind contributions or payment.~~

- ~~(a) Contracts approved by City Council. Record copy of contracts is in Administrative Services Department, City Clerk's Office. **Disposition:** Discard 2 years after termination or completion and final payment. (GC 34090.7)~~
- ~~(b) Contracts not requiring approval by City Council. Record copy is in Parks and Recreation Department. **Disposition:** Retain until termination or completion and final payment plus 5 years. (41 Code of Federal Regulations (CFR) 105-71.142 and GC 34090)~~

10. Co-Sponsorship Files

~~Files contain correspondence, agreements, and information about Youth Activities sponsors. Current co-sponsorship files are vital records. **Disposition:** Retain 2 years after completion of co-sponsorship program, then discard. (GC 34090)~~

11. PARC Foundation Files

~~Files contain Parks and Recreation Community Foundation meeting minutes and agendas, correspondence, reports, and other materials documenting foundation activities. Corporate documents are vital records. **Disposition:** Permanent~~

~~MARKETING AND COMMUNICATIONS SECTION~~

~~12. Final Samples~~

~~These are samples of the final products of every project undertaken by the Marketing and Communications Office. **Disposition:** *Permanent*~~

~~1312. Photographs~~

~~These official photographs document Parks and Recreation facilities, programs, activities, and staff. **Disposition:** *Permanent*~~

~~1713. Plans/Drawings~~

~~These are the plans for all park projects, including park improvements, structures, plantings, playgrounds, creek restorations, and other related projects. Plans for existing park facilities are vital records. **Disposition:** *Permanent*~~

~~1814. Project Files~~

~~Files contain correspondence, reports, drawings, mailing lists, meeting minutes, accounting, invoices, and other materials related to parks and recreation facility projects that are both either completed or still in the planning stages.~~

- ~~(a) Maps, plans, reports, correspondence, photographs, specific plans, and other original construction-construction-related materials. Active files are vital records. **Disposition:** *Permanent*~~
- ~~(b) Duplicates of records retained in other City departments and routine materials such as correspondence and records of minor administrative character that contain no substantive information. **Disposition:** *Discard 10 years after project is complete.* (California Code of Civil Procedure (CCP) 337.1 and GC 34090.7)~~

~~1415. Scrapbooks~~

~~The scrapbooks contain photographs and clippings of newspaper articles related to Parks and Recreation Department ~~(and Marketing and Communications Section)~~ activities, services, projects, and initiatives. **Disposition:** *Permanent*~~

~~1516. Slides~~

~~Slides document Parks and Recreation programs, staff, facilities, and activities. **Disposition:** *Permanent*~~

~~PARK DESIGN AND PLANNING SECTION~~

CREEKS DIVISION

1917. Creeks Files

Files contain meeting minutes and agendas, correspondence, maps, negotiation notes, contracts, and other related materials about creeks in Santa Barbara and their role in parks and recreation. Current files are vital records. **Disposition:** *Permanent*

GOLF DIVISION

~~20. Capital Expense and Budget Files~~

~~Files contain working capital expense and budget papers including bid specifications for purchases, project information, financial reports, spreadsheets, notes, and other related materials. Record copy of capital expense documentation and budgets is in Finance Department. **Disposition:** *Discard after 2 years. (GC 34090)*~~

2118. Golf Advisory Committee Files

Files contain meeting minutes and agendas, correspondence, budget information, reports, and studies related to the activities of the Golf Advisory Committee. **Disposition:** *Permanent*

2219. Incident Reports and Safety Information

Files contain reports of incidents on the golf course such as thefts or incidents that result in damage to property or injury to persons. Record copy is in Finance Department, Risk Management Division. **Disposition:** *Retain in office 1 year, then discard.*

PARKS DIVISION

2320. Andree Clark Bird Refuge Files

Files contain meeting minutes and agendas, contracts, negotiation notes, correspondence, maps, soils and water data, and other materials related to the Andree Clark Bird Refuge. Current files are vital records. **Disposition:** *Permanent*

2421. California Coastal Conservancy Grant Files

Files pertain to grants for parks programming and services received by the Parks Division from the California Coastal Conservancy, a state public agency that protects, restores, and enhances coastal resources. ~~The California Coastal Conservancy Grant provides funds in support of the Douglas Family Preserve and contains grant proposal and supporting correspondence and reports.~~

- (a) Grant agreements approved by City Council. Record copy of grant agreements approved by City Council is in Administrative Services Department, City Clerk's Office.

Disposition: *Retain 3 years after grant project is completed and final payment is made.*

- (b) Grant agreements not requiring approval by City Council. Record copy is in Parks and Recreation Department. **Disposition:** *Retain 3 years after grant project is completed and final payment is made.* (GC 34090)

2522. Chase Palm Park Files

Files contain correspondence, reports, and other materials related to the expansion of Chase Palm Park. Current files are vital records. **Disposition:** *Permanent*

2623. Douglas Family Preserve Files

Files contain contracts, minutes and agendas, negotiation notes, correspondence, maps, and other materials related to meetings of the Douglas Family Preserve Advisory Committee. Current maps, contract negotiation notes, and correspondence are vital records. **Disposition:** *Permanent*

2724. FEMA Grants

Documentation pertaining to the administration and expenditure of grant monies received from the Federal Emergency Management Agency (FEMA) for brush clearance and fire prevention. Files contain records documenting reimbursement by FEMA for City brush clearing expenses. Record copy of grant agreement is in Administrative Services Department, City Clerk's Office and record copy of financial records is in Finance Department.

- (a) Grant agreements approved by City Council. Record copy is in Administrative Services Department, City Clerk's Office. **Disposition:** *Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period, if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year, if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period, whichever is later.* (44 CFR 13.42)
- (b) Grant agreements not requiring City Council approval. Record copy is in Parks and Recreation Department. **Disposition:** *Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period, if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year, if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period, whichever is later.* (44 CFR 13.42)
- (c) All financial and programmatic records, supporting documents, and statistical records, relating to ~~the~~ reimbursement by FEMA. Record copy is in Finance Department and

includes reports, correspondence, purchase orders, invoices, and other financial documentation chronicling expenditure of federal funds. **Disposition:** *Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period, if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year, if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three--year period, whichever is later.* (44 CFR 13.42)

- (d) Parks Department Copy. **Disposition:** *Retain 3 years after grant project is completed and final payment made.* (44 CFR 13.42)

2825. Park Files

These files deal with particular City of Santa Barbara parks and park issues ~~in the City of Santa Barbara~~ and contain correspondence, staff reports and notes, and other materials documenting the formulation of park policies, projects, and programs. **Disposition:** *Permanent*

26. Park Ranger Incident Reports

Reports document incidents and other occurrences in City parks and beaches. --Disposition: Discard after 3 years. (14 CFR 107.23)

RECREATION DIVISION

29. Project Files

~~Files contain correspondence, reports, mailing lists, and other materials relating to project activities. **Disposition:** *Discard after 2 years or when no longer needed for reference. (GC 34090)*~~

30. Project History Files

~~Files contain correspondence, reports, and other materials related to the history of recreation projects. **Disposition:** *Permanent*~~

ADAPTED RECREATION SECTION

32. Photographs

~~Photographs show Adapted Recreation program activities. **Disposition:** *Permanent*~~

3327. Recreation Program Files

Files contain ~~flyers, newsletters, receipts, records, reports, forms, agreements,~~ correspondence, and other materials related to ~~Adapted~~ Recreation programs.

(a) **Programs Information.** ~~Files contain Section~~ correspondence and reports concerning the planning, implementation and evaluation of programs, activities and services~~and other policy-related materials.~~ **Disposition:** *Permanent*

~~(b) Publicity materials such as flyers and newsletters. **Disposition:** *Retain one copy of each permanently.*~~

~~(be) **Accounting Records.** Files contain treasury receipts, purchase orders, duplicating requests, business applications, quarterly reports, accident/injury reports, and other accounting materials. Record copy of accounting records is in Finance Department. Accounting records such as invoices and receipts. Record copy is in Finance Department. **Disposition:** *Discard after Retain for 2 years.* (GC 34090.7)~~

(c) **Registration.** ~~Files contain~~ All forms or documents related to activity registration: participants, including but not limited to activity registration forms, waivers, releases, parent permission and authorization forms, participant health screening documents, medical releases, and staff records on specific participant physical/mental conditions as related to proper placement into activities, supervision requirements, or modification of activities. **Disposition:** *Retain 5 years after event, then discard.* (GC 34090)

(d) **Independent Contractor/Instructor.** Files contain independent contractor applications, class proposal forms, independent contractor acknowledgment forms, independent contractor agreements, program registration and payment records for contractors, correspondence, reports, and other class-related information and materials. Record copy of financial files is in the Finance Department. **Disposition:** *Retain 5 years after event or until no longer needed for reference, then discard.* (GC 34090)

(e) **Membership.** Files contain program or activity membership applications. **Disposition:** *Retain 5 years after event, then discard.* (GC 34090)

(f) **Staff Training.** Files contain staff training records, presentations, manuals and materials. **Disposition:** *Retain 5 years after event, then discard.*

(g) **Incident and Injury Reports, and Safety Information.** Files document incidents and injuries occurring during City-sponsored programs and contain correspondence, staff notes, incident and injury reports, and safety information from recreation programs. Record copy is in Finance Department, Risk Management Division. **Disposition:** *Retain in office 1 year, then discard.*

(h) Vehicle Files. Files contain scheduled use of City recreation vans and buses, driver certifications and licenses, contact on drivers, vehicle checklists, vehicle reservation permits, correspondence, and other related information. Current driver contract and insurance information is vital. **Disposition:** *Discard when superseded.*

(i) Facility Maintenance and Inspection. Files contain work orders, maintenance reports, correspondence, notes, facility inspection records, and other materials concerning Recreation facilities.

a. Recreation facilities investigation and inspection materials. **Disposition:** *Discard after 7 years. (California Labor Code (LC) 6429)*

b. All other materials. **Disposition:** *Discard when 2 years old or sooner if purpose is served. (GC 34090)*

5728. Active Adults & Classes Advisory Committee Files

Files contain meeting minutes and agendas, correspondence, budget information, reports, and studies related to the activities of the Active Adults & Classes Advisory Committee. **Disposition:** *Permanent*

3129. Adapted Recreation Advisory Committee Files

Files contain meeting minutes and agendas, correspondence, budget information, reports, and studies related to the activities of the Adapted Recreation Advisory Committee. **Disposition:** *Permanent*

AQUATICS SECTION

3430. Aquatics Advisory Committee Files

Files contain meeting minutes and agendas, correspondence, ~~budget information,~~ reports, and studies related to the activities of the Aquatics Advisory Committee. **Disposition:** *Permanent*

3531. Aquatics Facilities Files

Files contain facility use schedules, pool attendance records, environmental health inspection reports, pool daily logs, maintenance records, safety meeting agendas and minutes, correspondence and other materials related to maintenance and operation of City pool facilities. **Disposition:** *Retain 5 years after event, then discard. (GC 34090)*

4732. Arts and Crafts Show Advisory Committee Files

Files contain meeting minutes and agendas, correspondence, ~~budget information,~~ reports, and studies related to the activities of the Arts and Crafts Show Advisory Committee. **Disposition:** *Permanent*

4833. Arts and Crafts Show Files

Files contain correspondence, reports, rules and regulations, applications, permits, sign-in sheets, annual reports, flyers, citations, publicity, and other materials related to planning and holding arts and crafts shows.

- (a) Section correspondence and reports concerning the planning and evaluation of arts and crafts shows, rules and regulations, annual reports, and other policy-related materials. **Disposition:** *Permanent*

~~— Publicity materials such as flyers and press releases. **Disposition:** *Retain one copy of each permanently.*~~

- (b) Routine administrative records such as sign-in sheets. **Disposition:** *Retain 2 years after event or when no longer needed for reference, then discard.* (GC 34090)

- (c) Applications and permits. **Disposition:** *Retain 5 years after event, then discard.* (GC 34090)

5534. Summer Camp Registration Files

Files contain ~~activity registration forms,~~ parent program evaluations, parent correspondence, calendars, program flyers, and other related materials documenting summer ~~camp programs and winter break camp programs.~~ **Disposition:** ~~*Retain activity registration forms and various parent authorization forms related to summer camp participation 5 years after event, then discard. Retain all other materials for 2 years after event or until no longer needed for reference, then discard*~~ (GC 34090).

4035. Community Center Information Files

Files contains correspondence, ~~and~~ information, reports, studies, maps and other materials related to the historical activities and special projects of the community centers. **Disposition:** *Permanent*

36. Program Files

~~Files contain correspondence, newsletters, correspondence, receipts, and other materials related to aquatics programs.~~

- ~~(a) Section correspondence and reports concerning the planning and evaluation of programs, and other policy-related materials. **Disposition:** *Permanent*~~

- ~~(b) Publicity materials such as flyers and newsletters. **Disposition:** *Retain one copy of each permanently.*~~

- ~~(c) Accounting records such as invoices and receipts. Record copy is in Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)~~

- ~~(d) Activity registration forms and facility use applications and permits. **Disposition:** *Retain 5 years after event, then discard.* (GC 34090)~~

~~ADULT SPORTS SECTION~~

~~37. Contractor Payroll Files~~

~~Files contain payroll records for contractors employed by Adult Sports. Record copy is in Finance Department. **Disposition:** Retain 2 years or when no longer needed for reference, whichever is sooner, then discard. (GC 34090.7)~~

3836. Field and Facility Rental and Reservation Files

Files document indoor and outdoor facility special events rentals and reservations and sports field permits, and contain correspondence, facility use applications, forms, permits, policies and other associated materials. **Disposition:** Retain applications and permits 5 years after the event, then discard. Retain all other materials 2 years after event, then discard. (GC 34090)

37. Neighborhood Advisory Council Files

Files contain the minutes and agendas, correspondence, rosters, and other materials of the Neighborhood Advisory Council. **Disposition:** Permanent

6538. Santa Barbara Youth Council Files

Files contain meeting minutes and agendas, correspondence, ~~budget information,~~ reports, and studies related to the activities of the Santa Barbara Youth Council. **Disposition:** Permanent

5439. Special Events Files

Files contain correspondence, worksheets, ~~special event~~ applications, facility use permits, and other materials related to special events held in the City's parks and on its beaches.

Disposition: Retain special event applications and facility use permits ~~5-7~~ years, then discard. Retain all other materials 2 years after event or when no longer needed for reference, then discard. (GC 34090)

3940. Sports League Files

Files document the activities and memberships of adult sports leagues and contain rosters, player sign-in sheets, correspondence, schedules, and other associated information. **Disposition:** Retain team rosters and player sign-in sheets 5 years after event, then discard. Retain all other materials 2 years, then discard. (GC 34090)

~~COMMUNITY SERVICES SECTION~~

~~41. Correspondence Files~~

~~Files contain correspondence and other materials related to Parks and Recreation Department issues as well as correspondence between Community Services and other Parks and Recreation divisions and various City departments.~~

- ~~(a) Program and Policy Correspondence. Incoming and outgoing letters and memoranda pertaining to the formulation, planning, and implementation of the mission, policies,~~

~~programs, operations, and projects of the Community Services Section. **Disposition:** *Permanent*~~

~~(b) Routine Correspondence. Incoming and outgoing letters pertaining to the normal and routine administrative functions of the Community Services Section. Consists of correspondence providing general information, replying to complaints and requests for information, referring inquiries elsewhere, forwarding materials, acknowledging incoming letters, making arrangements for routine meetings or other events, and similar matters of minor administrative character which contain no substantive information. **Disposition:** *Discard after 2 years. (GC 34090)*~~

~~(c) Transitory Correspondence. Requests for information and copies of replies involving no administrative actions, no policy decisions, and no special compilations or research. Also letters of transmittal and thanks. **Disposition:** *Retain 1 year, then discard.*~~

42. Facility Use Permit Files

~~Files contain correspondence, applications for permits, and permits that authorize the use of community center facilities for meetings and events. **Disposition:** *Retain 5 years after event, then discard. (GC 34090)*~~

43. Reports and Surveys

~~Reports pertain to historical Community Service activities. **Disposition:** *Permanent*~~

44. Special Project Files

~~Files contain reports, correspondence, studies, maps, and other materials related to special projects originated by the community centers. **Disposition:** *Permanent*~~

45. Tenant Files

~~Files contain lease agreements, correspondence, insurance forms for tenants, and other tenant and lease-related materials and information. Record copy of lease agreements is in Administrative Services Department, City Clerk's Office; record copy of other records is in Recreation Division Office. **Disposition:** *Retain for life of lease plus 2 years, then discard. (GC 34090.7)*~~

6841. Tennis Advisory Committee Files

Files contain meeting minutes and agendas, correspondence, ~~budget information~~, reports, and studies related to the activities of the Tennis Advisory Committee. **Disposition:** *Permanent*

6142. Tour Files

Files document tours planned and offered by the Active Adults & Classes office and include correspondence, flyers, ~~copies of paid checks~~, invoice and accounting information, release forms, and other related materials.

- (a) Accounting records including duplicate purchase orders and receipts, copies of paid checks, and other related materials. **Disposition:** *Discard after 2 years.* (GC 34090.7)
- (b) Tour planning records including correspondence, flyers, rosters, reservation information, and other such materials. **Disposition:** *Discard 2 years after event.* (GC 34090)
- (c) Release Forms. Forms release the City ~~of Santa Barbara~~ from liability if a tour participant is injured during the tour. **Disposition:** *Discard 5 years after event.* (CCP 340 and 337)

4643. Westside, Franklin, and Lower Westside Community Center Advisory Committees Files

Files contain the minutes and agendas, correspondence, rosters, and other materials of the Westside, Franklin, and Lower Westside Community Center Advisory Committees. **Disposition:** *Permanent*

Cultural Arts Section

49. — Class Files

~~Files contain class registration forms, instructor files with payment information, correspondence, reports, and other class-related information and materials. **Disposition:** *Retain class registration forms for 5 years after event, then discard. Retain all other materials 2 years or until no longer needed for reference, then discard.* (GC 34090)~~

50. — Cultural Arts Accounting Records

~~Files contain treasury receipts, purchase orders, duplicating requests, business applications, quarterly reports, accident/injury reports, and other accounting materials. Record copy of accounting records is in Finance Department. **Disposition:** *Retain 2 years.* (GC 34090.7)~~

51. — Facility Use Permit Files

~~Files contain facility use applications and permits, payment records, vendor information, facility monitor check sheet, and refund information. **Disposition:** *Retain facility use applications and permits 5 years after event, then discard. Retain all other materials 2 years or when no longer needed for reference, then discard.* (GC 34090)~~

Facilities And Program Registration Section

52. — Adapted Recreation and Aquatics Camp Files

~~Files contain flyers, correspondence, shopping lists, and other information pertaining to camps operated by the Adapted Recreation and Aquatics Sections. **Disposition:** *Retain 2 years after event or until no longer needed for reference, then discard.* (GC 34090)~~

53. — Facilities Use Permits

~~Files/binders document rental of community buildings and park facilities for meetings and events. Files contain correspondence, facility use applications and permits, and other related materials. Current files are vital records. **Disposition:** Retain facility use applications and permits 5 years after event, then discard. Retain all other materials 2 years or when no longer needed for reference, then discard. (GC 34090)~~

56. — Vehicle Files

~~Files document the use of City vans, buses, and cars and contain contact and insurance information on drivers, vehicle check lists, correspondence, and other related information. Current driver contract and insurance information is vital. **Disposition:** Discard when superseded.~~

~~Active Adults & Classes Section~~**58. — Administrative Subject Files**

~~Files contain work orders, reports, correspondence, notes, facility inspection records, and other materials concerning Active Adults & Classes activities and facilities.~~

- ~~(a) Active Adults recreation facilities investigation and inspection materials. **Disposition:** Discard after 7 years. (California Labor Code (LC) 6429)~~
- ~~(b) All other materials. **Disposition:** Discard when 2 years old or sooner if purpose is served. (GC 34090)~~

59. — Facility Use Permit Files

~~Files contain correspondence, facility use applications and permits, payment receipts, cash register tapes, facility use schedules, and other facility related materials. Record copy for receipts is in Finance Department; record copy for other records is in Parks and Recreation Department, Recreation Division, Active Adults & Classes Section.~~

- ~~(a) Duplicate financial records such as cash register tapes. **Disposition:** Discard after 2 years. (GC 34090.7)~~
- ~~(b) Record copy of financial records such as payment receipts. **Disposition:** Retain 7 years after end of fiscal year to which the records relate. (26 CFR 1.6001-1 and California Code of Regulations (CCR) §19141.6)~~
- ~~(c) Facility use applications and permits. **Disposition:** Retain 5 years after event, then discard. (GC 34090)~~
- ~~(d) All other facility records such as schedules. **Disposition:** Discard after 2 years. (GC 34090)~~

60. — Program Files

Files contain correspondence, reports, notes, activity participation documentation, and other materials documenting the programs of the Active Adults & Classes Section. **Disposition:** *Permanent*

(a) — Active Adults & Classes membership applications. **Disposition:** *Retain 5 years after event, then discard.* (GC 34090)

(b) — Activity registration forms, including the Gym Open Program Waiver, and other drop-in activity registration and waiver forms. **Disposition:** *Retain 5 years after event, then discard.* (GC 34090)

(c) — Instructor files with payment information, correspondence, reports, and other class-related information and materials. **Disposition:** *Retain 2 years after event or until no longer needed for reference, then discard.* (GC 34090)

Teen Programs Section

62. — Incident and Accident Reports

Files document incidents and accidents occurring during City sponsored teen programs and contain correspondence, staff notes, and incident and accident reports. Record copy is in Finance Department, Risk Management Division. **Disposition:** *Retain in office 1 year, then discard.*

63. — Program Files

Files contain participant registration information, event evaluations and descriptions, correspondence, invoices, receipts, flyers, check copies, planning notes, permits, and other materials related to Teen Programs activities such as dances, skate parks, haunted houses, and other events. **Disposition:** *Retain activity registration forms and permits 5 years after event, then discard. Retain all other materials 2 years after event or until no longer needed for reference, then discard.* (GC 34090)

64. — Reports

These are the quarterly reports and general reports of Teen Program activities. **Disposition:** *Permanent*

Tennis Services Section

66. — Facility Management Files

Files contain information related to facility management, including schedules, facility use applications/permits, capital improvements, maintenance records, use policies and other related documents.

~~(a) Facility use applications and permits. — **Disposition:** Retain 5 years after event, then discard. (GC 34090)~~

~~(b) All other facility documentation. — **Disposition:** Retain 2 years after event or when no longer needed for reference, then discard. (GC 34090)~~

67. — Program Files

~~Files contain correspondence, information related to tennis programs taught by independent contractors for the City, including instructor payroll percentage reports, activity registration forms, class enrollment lists, and documentation of payment of independent contractors. Record copy is in Finance Department. — **Disposition:** Retain activity registration forms and class enrollment lists 5 years after event, then discard. Retain all other materials 2 years after event or until no longer needed for reference, whichever is sooner, then discard. (GC 34090.7)~~

~~Youth Activities Section~~

69. — Administrative Files ("Clerical Files")

~~Files contain program co-sponsorship information, conditions of permits, beach cleanup contracts and information, correspondence, school facility use permits, accident and incident reports, and other administrative information and materials. Record copy for accident and incident reports is in Finance Department, Risk Management Division; record copy for other materials is in Parks and Recreation Department, Recreation Division, Youth Activities Section.~~

~~(a) Incident Reports. Record copy is in Finance Department, Risk Management Division. — **Disposition:** Retain in office 1 year, then discard.~~

~~(b) General Administrative Records. Files contain conditions of permit, beach cleanup contracts and information, school facility use permits, and other administrative records. — **Disposition:** Retain 2 years after event or when no longer needed for reference, then discard. (GC 34090)~~

70. — PROGRAM FILES

~~Files contain sport league schedules, activity rosters, activity registration forms, publicity, correspondence, staff schedules, and information related to other activities coordinated by the Youth Activities section. — **Disposition:** Retain activity registration forms and rosters 5 years after event, then discard. Retain all other materials 2 years after event or until no longer needed for reference, then discard. (GC 34090)~~

CITY OF SANTA BARBARA, CA POLICE DEPARTMENT

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE POLICE DEPARTMENT. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

1. Fire and Police Commission Files

Files contain audiotapes of meetings, meeting minutes and agendas, short-hand minutes of meetings, information about each of commissioners, correspondence, and other materials related to Commission activities.

- (a) Meeting Minutes and Agendas. **Disposition:** *Permanent*
- (b) Program and Policy Correspondence. Incoming and outgoing letters and memoranda pertaining to the formulation, planning, and implementation of the mission, policies, programs, operations, and projects of the Police Department. **Disposition:** *Permanent*
- (c) Short-hand minutes of meetings, information about commissioners, and routine correspondence including incoming and outgoing letters pertaining to the normal and routine administrative functions of the Commission. **Disposition:** *Discard after 2 years or when superseded.* (GC 34090)

2. Internal Affairs Files

Files contain documentation of internal affairs investigations and include correspondence, reports, investigator notes, and other related information. Current files are vital records.

- (a) Complaints by members of the public against police department personnel, supporting correspondence, reports, investigator notes, and other related information.. **Disposition:** *Discard 5 years after the investigation is complete.* (California Penal Code Section 832.5)

- (b) Administrative complaints against police department personnel, supporting correspondence, reports, investigator notes, and other related information.
Disposition: *Discard 2 years after the investigation is complete.* (California Government Code Section 34090)

3. Press Pass Credentials

Files contain applications for credentials, background checks, and other related information.
Disposition: *Discard after 2 years.* (GC 34090)

ADMINISTRATIVE SERVICES DIVISION

114. Alarm Ordinance Files

Files pertain to city ordinance that requires the tracking of false burglar alarms and the imposition of fines for false alarms over the allowable number. Current files are vital records.

- (a) Record Copy. **Disposition:** *Permanent Retain 7 years after end of fiscal year to which the records relate. (26 Code of Federal Regulations (CFR) 1.6001-1 and California Code of Regulations (CCR) §19141.6)*

- (b) All other copies. **Disposition:** *Retain for 2 years. (GC 34090.7)*

45. Building Project Binders

Binders contain correspondence, reports, and other materials related to the attempt to pass a bond measure to build a new building for the Police Department. **Disposition:** *Permanent*

6. Permit Files

Files contain applications for credentials, background checks, and other related information.

- (a) Taxicab and Pedicab Driver Permits. **Disposition:** *Discard after 2 years. (GC 34090)*

- (b) Taxicab Company Permits. **Disposition:** *Discard when 3 years old or when no longer needed for reference, whichever is sooner. (GC 34090)*

- (c) Massage Permits. **Disposition:** *Discard after 3 years. (GC 34090)*

ANIMAL CONTROL SECTION

57. Animal Bite Reports and Quarantine Notices

Files contain reports regarding animals (i.e., dogs) that have bitten humans. Current files are vital records. **Disposition:** *Retain for the life of the animal, if known, or 15 years; then discard.* (Santa Barbara Municipal Code (SBMC) 6.12.030)

68. Dog Licenses

Files contain dog licenses. Current files are vital records. **Disposition:** *Discard after 3 years.* (GC 34090)

79. Kennel Cards

Files contain a card for every animal impounded by the City. Current files are vital records. **Disposition:** *Discard after 3 years.* (GC 34090)

810. Special Cases

Files pertain to vicious animals, owners who abuse their animals, owners/animals who are repeat offenders, animal-related cases that have gone to court, and other special cases. Current files are vital records.

(a) Files for cases that do not go to court. **Disposition:** *Discard 1 year after case is closed.* (California Code of Civil Procedure (CCP) 340)

(b) Files for cases that go to court. **Disposition:** *Integrate with criminal, misdemeanor, infraction, or civil case files and dispose of accordingly.*

911. Veterinarian's Bills

Files contain invoices from veterinarians who have treated animals in the custody of Animal Control. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 Code of Federal Regulations (CFR) 1.6001-1 and California Code of Regulations (CCR) §19141.6)

COMBINED COMMUNICATIONS SECTION**1012. Logger Tapes**

These audiotapes hold all the voice data from police and fire radios, 911 calls, incoming and outgoing phone calls to dispatchers, and other related communications. Current tapes are vital records. **Disposition:** *Erase/discard after 100 days.* (GC 34090.6)

PARKING ENFORCEMENT, PROPERTY, CRIME ANALYSIS, SCHOOL CROSSING GUARDS**1213. Crime Statistics Reports**

Reports contain statistics on crimes that have occurred in the city of Santa Barbara. This records series continues the "Bureau of Criminal Statistics Annual Reports." **Disposition:** *Permanent*

1314. Drug Burn Files

Files document drugs collected as evidence that are to be destroyed by burning. Current files are vital records. **Disposition:** *Discard after 2 years.* (CCP 340)

1415. Evidence/Property for Active Cases

Files document the location of evidence/property collected in support of active police cases. Current files are vital records. **Disposition:** *Discard after 1 year or with case file, which ever is longer.* (CCP 340)

1516. Homicide Evidence Records ("187 Files")

The 187 files document the location of evidence collected in support of homicide cases. Active files are vital records. **Disposition:** *Permanent.*

1617. Parking Statistics

These are daily statistics on parking citations and the number of vehicles towed for parking illegally. **Disposition:** *Discard after 3 years.* (GC 68152)

1718. Special Search Warrants

These are drug-related search warrants for which rescissions have been requested. Current files are vital records. **Disposition:** *Discard after 10 years.* (GC 68152)

1819. Wanted Bulletins

These bulletins contain information on individuals wanted by the police as crime suspects. **Disposition:** *Discard when superseded or no longer needed for reference.*

TRAINING, RECRUITMENT, BACKGROUNDS/RANGE COMMUNITY SERVICES/CRIME PREVENTION**1920. Academy Class Files**

Files document the academy class monitoring activities of the Training Officer. **Disposition:** *Discard 25 years after employee termination or separation.* (29 CFR 1627.3 and GC 12946)

2021. Burglary Prevention Materials

Files consist of pamphlets related to crime prevention. **Disposition:** *Retain one copy of each pamphlet permanently.*

2122. Qualifying Records

Files document whether officers passed qualifying training on the shooting of firearms. Current files are vital records. **Disposition:** *Discard 25 years after employee termination or separation.* (29 CFR 1627.3 and GC 12946)

BUSINESS OFFICE**2223. Personnel and Background Files**

Files document background checks conducted on former employees and contain employee applications, evaluations, personnel action forms, and other personnel-related materials. This is a vital record. **Disposition:** *Discard 25 years after employee termination or separation.* (29 CFR 1627.3 and GC 12946)

2324. Personnel Background Files

Files document background checks conducted on current employees and contain correspondence, notes, reports, and other related materials. This is a vital record. **Disposition:** *Discard 25 years after employee termination or separation.* (29 CFR 1627.3 and GC 12946)

2425. Personnel Background Files (unsuccessful)

Files document background checks conducted on applicants who did not successfully complete the application process. Current files are vital records. **Disposition:** *Discard 5 years after materials are received.*

2526. Personnel Files (current)

Files contain personnel information for current police employees and include employee applications, evaluations, leave requests, and other personnel information. This is a vital record. **Disposition:** *Discard 25 years after employee termination or separation.* (29 CFR 1627.3 and GC 12946)

INFORMATION TECHNOLOGIES**2627. Information Technologies System Documentation**

Files contain documentation for the inhouse and off-the-shelf computer systems used by the Police Department. **Disposition:** *Retain for life of computer system or until no longer needed for reference; then discard.*

2728. Information Technologies User Access Forms

Files document individuals who have access to the Police Department's networks and contain a form for each user in the Police Department and each user in agencies that are part of the Joint Powers Agreement (law enforcement agencies using one of the Police Department's networks). **Disposition:** *Retain until superseded.*

RECORDS OFFICE

2829. Abandoned Vehicle Reports

Reports document towed abandoned vehicles and their disposition. **Disposition:** *Discard after 2 years.* (GC 34090)

2930. Citation Purge Books

Books contain listing of paid citations. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

3031. Citations

These are Santa Barbara Police Department traffic citations.

- (a) Citations that result in court cases. **Disposition:** *Integrate into case file and dispose of accordingly.*
- (b) Citations that do not result in court cases. **Disposition:** *Discard after 2 years.* (GC 34090)

3132. Criminal History Request Files

Files contain requests for individuals' criminal histories. **Disposition:** *Discard after 2 years.* (GC 34090)

3233. Field Interrogation Cards ("FI Card")

These cards document each traffic and other stop made by an officer. **Disposition:** *Discard after 2 years.* (GC 34090)

3334. Pawn Files

Files contain information on each item pawned in the city of Santa Barbara.

- (a) Files regarding pistols, revolvers, or other firearms capable of being concealed upon the person. **Disposition:** *Permanent*
- (b) All other files. **Disposition:** *Discard after 7 years.* (CCR §1175; PC 11106, CCP 340)

3435. Property Releases

Releases document property (including that taken in as evidence, received as lost-and-found, or confiscated) that the Police Department has either destroyed or sold at auction, because it was not claimed.

- (a) Property release information regarding pistols, revolvers, or other firearms capable of being concealed upon the person permanently. **Disposition:** *Permanent* (PC 11106)

- (b) Property release information regarding evidence. **Disposition:** *Retain according to case file retention guidelines.*
- (c) General property release files. **Disposition:** *Discard after 7 years.* (CCR § 1175, PC 11106, and CCP 340)

3536. Refunds

Files document refunds for dismissed traffic citations or other expenditure by the public.

Disposition: *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

3637. Tickets

These are hand-written and computer-generated traffic and other citations.

- (a) Tickets that result in court cases. **Disposition:** *Integrate into case file and dispose of accordingly.*
- (b) Tickets that do not result in court cases. **Disposition:** *Discard after 2 years.* (GC 34090)

3738. Tickets on Review

These are disputed tickets that are retained until the dispute is resolved. **Disposition:** *Discard 2 years after dispute is resolved.* (GC 34090)

3839. Towed Vehicle Files ("Form 180")

Files document vehicles that have been towed in the past year, especially those belonging to drivers without licenses or with suspended licenses. These vehicles must be kept 30 days.

Disposition: *Discard records after 2 years.* (GC 34090)

3940. Unpaid Ticket Letters

Letters are sent to individuals who did not pay their tickets or pick up their towed vehicles.

Disposition: *Discard after 2 years.* (GC 34090)

INVESTIGATIVE DIVISION

4041. Case Files

Files contain photographs, reports, notes, correspondence, booking information, investigative information, witness statements, and other information related to the police investigation of criminal cases. Active cases are vital records.

- (a) Capital Felony Case Files. **Disposition:** *Permanent*

- (b) Felony Case Files. **Disposition:** *Discard after 75 years.* (GC 68152)
- (c) Civil Action Case Files. **Disposition:** *Discard after 10 years.* (GC 68152)
- (d) Misdemeanor Case Files. **Disposition:** *Discard after 5 years.* (GC 68152)
- (e) Juvenile criminal case files related to homicide or sex offenses. **Disposition:** *Permanent*
- (f) Case files concerning juveniles who have suffered, have a sibling who has suffered, or where there is substantial risk of suffering, physical, sexual, or emotional harm by parents or guardians. **Disposition:** *Discard files when the subject reaches the age of 28.* (GC 68152)
- (g) Case files concerning juveniles who have committed acts of truancy. **Disposition:** *Discard when subject reaches the age of 21.* (GC 68152)

4142. Case Files (Major)

Files contain photographs, reports, notes, correspondence, booking information, investigative information, witness statements, and other information related to the police investigation of major criminal cases. Active cases are vital records. **Disposition:** *Permanent*

4243. Justice Department Grant Files

Documentation pertaining to the administration and expenditure of U. S. Justice Department grant monies received as pass-through monies from the State of California, including Local Law Enforcement Block Grants (LLEBG) and the Serious Offenders (SHO) grants.

- (a) Grant Agreements approved by City Council. Record copy is in Administrative Services Department, City Clerk's Office. **Disposition:** *Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three year period, whichever is later.* (28 CFR 66.42)
- (b) Grant Agreements not requiring City Council approval. Record copy is in Police Department. **Disposition:** *Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the*

day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three year period, whichever is later. (28 CFR 66.42)

- (c) All financial and programmatic records, supporting documents, and statistical Records, relating to the administration and expenditure of U. S. Justice Department grant monies received as pass-through monies from the State of California. Includes annual and quarterly reports, correspondence, purchase orders, invoices, and other financial documentation chronicling expenditure of federal funds. **Disposition:** *Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three year period, whichever is later. (28 CFR 66.42)*
- (d) Equipment records. **Disposition:** *Retain 3 years from the date of the disposition or replacement or transfer at the direction of the awarding agency. (28 CFR 66.42)*

OPERATIONS DIVISION

4344. Administrative Subject File

Files contain beat maps, reference information, awards, correspondence, reports, and other materials related to the administration of the Operations Division.

- (a) Award information and program and policy correspondence including incoming and outgoing letters and memoranda pertaining to the formulation, planning, and implementation of the mission, policies, programs, operations, and projects of the Operations Division. **Disposition:** *Permanent*
- (b) Beat maps, reference information, routine correspondence and reports related to the normal and routine administrative functions of the Operations Division. **Disposition:** *Discard after 5 years or when superseded. (GC 34090)*

4445. Daily Work Schedules

These are work schedules of operations officers out in the field. **Disposition:** *Discard after 2 years. (29 CFR 516.6)*

4546. Reserve Personnel Files

Files contain training and other personnel-related information on reserve officers including correspondence, leave requests, evaluations, reports, and related materials. Current files are vital records. **Disposition:** *Discard 25 years after employee termination or separation.* (29 CFR 1627.3 and GC 12946)

4647. Special Events File

Files contain statistical data on police involvement/activities in the city's special events including Fiesta, the Olympic torch relay, and other events. **Disposition:** *Discard after 5 years or when no longer needed for reference.* (GC 34090)

4748. Special Weapons and Tactics (SWAT) Files

Files contain correspondence, reports, training materials, and other records documenting the training of SWAT officers. Current files are vital records. **Disposition:** *Discard 25 years after employee termination or separation.* (29 CFR 1627.3 and GC 12946)

4849. SWAT Incident Reports

Files contain maps, photographs, and debriefing information on SWAT incidents. Active reports are vital records.

- (a) Files for incidents related to capital felony cases. **Disposition:** *Permanent*
- (b) Files for incidents related to felony cases. **Disposition:** *Discard after 75 years.* (GC 68152)
- (c) Files for incidents related to homicide or sex offenses committed by juveniles. **Disposition:** *Permanent.*
- (d) Files for incidents related to juveniles who have suffered, have a sibling who has suffered, or where there is substantial risk of suffering, physical, sexual, or emotional harm by parents or guardians. **Disposition:** *Discard files when the subject reaches the age of 28.* (GC 68152)

4950. Watch File

Files contain watch information on reserve officers' performance and training needs including rating forms, memoranda, annual evaluations, and related materials. **Disposition:** *Integrate into reserve personnel files and dispose of accordingly.*

CITY OF SANTA BARBARA, CA PUBLIC WORKS DEPARTMENT

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE ADMINISTRATION DIVISION OF THE DEPARTMENT OF PUBLIC WORKS. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

ADMINISTRATION DIVISION

1. Administrative Chronological Files

Files contain department correspondence, reports, maps, and other materials related to department functions.

- (a) Reports. Copies of internal staff analytical reports created by various Public Works divisions, sections, and offices relating to current Public Works projects. They are used for reference by the Department director. Record copy is in the originating division, section, or office of Public Works Department. **Disposition:** *Retain 2 years, then discard.* (GC 34090.7)
- (b) Maps. Duplicate construction plans and maps. Record copy is in the Engineering Division. **Disposition:** *Retain until no longer needed, then discard.* (GC 34090.7)

2. "Clean Cities" Files

Files contain reference materials related to the "Clean Cities" project and include correspondence, reports, newsletters and other materials. **Disposition:** *Discard when superseded.*

ENGINEERING DIVISION

3. Assessor's Parcel Maps

County assessor's parcel maps are used in numerous ways, including those related to boundary changes and to plotting the location of bridges, by the Engineering Division and other Public Works divisions. They are not City records. Record copy is in the County Assessor's Office.

Disposition: *Retain one copy of the superseded Assessor's Parcel Maps permanently for review of boundary changes, discard all other copies of superseded Assessor's Parcel Maps.*

4. Capital Project Files

Files contain contracts, construction specifications, correspondence, reports, notes, claim forms, consulting agreements, Notices of Completion, purchase orders, and other materials documenting the design, construction, and payments related to the City's engineering construction projects. The correspondence documents the decisions the City made regarding construction engineering. Record copy of payment records is in Finance Department; record copy of reports, specifications, contracts, and agreements approved by the City Council is in the City Clerk's Office, Administrative Services. Record copy of Purchase Order (Maintenance and Repair) specifications not requiring Council approval is in Finance Department. Current files are vital records.

- ~~(f)(a)~~ Design Files (active). Files contain ~~construction designs and~~ correspondence and are used to document construction design (Agreements, Technical Reports, Key Correspondence).
- ~~12)~~ Final ~~C~~construction designs and plans (~~final~~). **Disposition:** *Permanent*
- ~~21)~~ Preliminary ~~C~~construction designs and plans (~~preliminary~~). **Disposition:** *Discard 1 year after completion of project or when no longer needed for reference. (GC 34090)*
- ~~3)~~ ~~Correspondence concerning construction design decisions.~~ **Disposition:** *Discard after 10 years. (California Code of Civil Procedure (CCP) 337.15)*
- ~~(a)(b)~~ Engineer's Working Files. Duplicate contracts, agreements, reports, bid specifications, purchase orders, and other duplicate records. **Disposition:** *Retain until project completion plus 2 years, then discard. (GC 34090.7)*
- ~~(b)~~ ~~Engineering Division correspondence, notes, Notices of Completion, and Engineering Division records.~~ **Disposition:** *Permanent*
- (c) ~~Bid~~ Specifications for completed construction bids. ~~Files contain a description of the project, maps, and bid information.~~ The specifications are retained for reference in the event additional work becomes necessary on completed projects. ~~Current~~ Final specifications are vital records. **Disposition:** *Permanent.*
- (d) Construction Plans ~~and Index.~~ Construction plans contain the information needed by contractors to construct projects. Current plans are vital records. ~~Index cards provide descriptions and a map/plan number for each Engineering map and plan. The index is now superseded.~~ **Disposition:** *Permanent.*

(e) Construction ~~Subject~~ Files. Files contain correspondence, reports, notes, Notices of Completion, and other materials concerning budgeting, personnel, and related subjects, from outside agencies and consultants. **Disposition:** *Discard after 5 years or when superseded.*

~~(g) Water Resources Design Files. Files contain correspondence, plans, reports, completed engineering design files, and other materials related to "hot" water resources topics, dead projects, and other issues. The files are used to document design decisions. Current plans are vital records.~~

~~1) Final design maps, plans, photographs, staff reports and correspondence documenting design decisions. **Disposition:** *Integrate into Engineering Project Files and retain permanently.*~~

~~2) Duplicate reports, bid specifications, purchase orders, and other duplicate records. **Disposition:** *Retain until project completion plus 2 years, then discard.* (GC 34090.7)~~

65. Drainage and Mission Creek Subject Files

Files contain maps, reports, correspondence, engineering calculations, and other materials related to drainage issues in Santa Barbara, and technical data on water quality and flow, and other materials related to Mission Creek. **Disposition:** *Retain Drainage Subject Files 10 years or until superseded; retain Mission Creek Subject Files permanently* Permanent. (GC 34090)

76. Engineering Administrative Subject Files and Studies (Ongoing Projects)

General engineering file information and files containing management and reference information about ongoing projects and issues, such as:

(a) Underground Utility Assessment Districts and Underground Utility Districts (UUAD/UUD). **Disposition:** *1) Retain files for completed projects for 5 years after completion; 2) Retain files for uncompleted projects permanently.*

~~(e) Laguna Channel. **Disposition:** *1) Retain files for completed projects for 5 years after completion; 2) Retain files for uncompleted projects permanently.* Permanent.~~

~~(c) Mission Creek. **Disposition:** *1) Retain files for completed projects for 5 years after completion; 2) Retain files for uncompleted projects permanently.*~~

(b) Conejo Slide Area. **Disposition:** *Permanent.*

(~~de~~) Studies related to assessment, design, and construction of City-specific buildings and facilities in Santa Barbara. They include ~~Environmental Impact Reports (reference only), proposals, design reports, engineering reports, technical reports, and other related reports.~~
Disposition: Permanent 5 years.

(~~ef~~) Bridge Inspection Reports and Correspondence. Reports are used to track bridge conditions and include correspondence and photographs of bridges. Record copy is with Caltrans. ~~Current files are vital records.~~ **Disposition:** Permanent 5 years.

(g) Road Map. The Road Map contains information associated with public right-of-way infrastructure such as access ramp information, bridge inventory, priority access corridors, storm drain priority projects, etc. These documents assist staff in budget preparation for Streets Capital infrastructure maintenance and improvements.
Disposition: 5 years, per Caltrans)

87. Maps

Engineering Mmaps include flood maps, site plans, ~~USGS quadrangle maps, oil field maps (California Department of Oil and Gas),~~ geologic maps, topographical maps, and other maps for the Santa Barbara area. Record copy for engineering maps is in Public Works Department, Engineering Division; record copy for planning maps is in Planning Division. USGS maps, oil field maps, geologic maps, and other maps produced by outside agencies are not eCity records.

(a) Engineering maps. **Disposition:** *Discard when superseded or no longer needed for reference.*

(b) Planning maps. **Disposition:** *Discard when superseded or no longer needed for reference.*

(c) USGS, oil field, and other maps produced by outside agencies. **Disposition:** *Discard when superseded or no longer needed for reference.*

58. Certain Dedicated and Undedicated Streets in the City

Recorded deeds and Mmaps document streets dedicated by private owners to public use. and Additional formerly private undedicated streets were identified and depicted on the Official Street Map by the City Engineer, as originally directed by City Council Resolution No. 2736, and as subsequently and accepted by the City in Resolution No. 2737. ~~Record copies is of which are~~ in the Administrative Services Department, City Clerk's Office. **Disposition:** *Permanent*

9. Official Street Map of Santa Barbara, California

Map shows all streets in Santa Barbara. These maps are periodically updated and readopted to reflect any changes such as new streets, street abandonments, and street realignments. Current map is a vital record. **Disposition:** *Retain one copy of superseded street maps permanently.*

10. Storm Drain, Water, and Sewer Atlases

Maps show the City's storm drain, water distribution and sewer locations. They document the City's water system, although they do not differentiate between city-owned and private facilities. The maps are updated to incorporate new information and to demonstrate which facilities may be maintained by the City. Current atlases are vital records.

- (a) Water Department Water Plat Maps. Maps document the location and boundary lines of City water department property. **Disposition:** *Permanent*
- (b) Water Valve Book. Books document the location of the City's water valves and are used to locate valves if they need to be shut off. Current books are vital records. **Disposition:** ~~Discard maps when superseded and no longer needed for review~~ *Permanent*.
- (c) Drainage Facilities ~~Maps~~ Mapping Project. Maps document the location of storm drains and outlets, ~~although they do not with intent to~~ differentiate between City-owned and private facilities. The maps are updated to incorporate new information and to demonstrate which facilities may be maintained by the City. Electronic file is a vital record. **Disposition:** *Discard paper copy when superseded.*
- (d) Topographic Maps. Maps show City topography. They are part of the Permanent Control Network and Digital Topographic Mapping Project. Electronic file is a vital record. **Disposition:** *Permanent*

ACCOUNTING

11. Engineering Accounting Files

Files concern open and closed construction contracts and contain purchase orders, consulting agreements, and accounts payable materials.

- (a) Duplicates of Consulting Agreements not requiring City Council approval. Record copy is in the Finance Department. **Disposition:** *Retain until termination or completion and final payment and until no longer needed for reference, then discard.* (41 Code of Federal Regulations (CFR) 105-71.142 and GC 34090)
- (b) Consulting Agreements approved by the City Council. Record copy is in the Administrative Services Department, City Clerk's Office. **Disposition:** *Retain until termination or completion and final payment and until no longer needed for reference, then discard.*
- (c) All other accounting records. Record copy is in the Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

12. Payroll Files

Files contain original leave requests, duplicate timesheets, and original project timesheets and are used to track employee hours and to charge back employee time to other departments.

- (a) Employee requests for annual, sick, personal, or other types of leave. **Disposition:** *Discard after 2 years.*
- (b) Timesheets (duplicate). These document the hours worked by each division employee. Record copy is in the Finance Department. **Disposition:** *Discard after 3 years.* (29 CFR 516.5, California Labor Code (CLC) 1174, and GC 34090.7)
- (c) Project Timesheets. These are internal Division timesheets that document the hours worked by employees on particular projects. **Disposition:** *Discard after 3 years.*

ENVIRONMENTAL PROGRAMS

13. Project Files

~~Files contain correspondence, memoranda, reports, notices, maps, plans, photographs, phase I and II site assessments, and other materials related to hazardous materials contamination and cleanup, the removal of leaking storage tanks, solid waste complaint and response, vector control, waste soil grants, asbestos assessment and removal, permitting, and other related issues. Record copy for reports, contracts, and agreements approved by the City Council is in the Administrative Services Department, City Clerk's Office; record copy for financial records is in the Finance Department. Current files are vital records.~~

- ~~(a) Asbestos assessment and removal records. **Disposition:** *Retain for 30 years, then discard.* (40 CFR 763.121)~~
- ~~(b) Solid waste permit and contract records. **Disposition:** *Retain 2 years after expiration of the permit or contract, then discard.* (Santa Barbara County Code 17-13)~~
- ~~(c) Duplicate contracts, agreements, reports, bid specifications, purchase orders, maps, plans, financial records, and other duplicate records. **Disposition:** *Retain until project completion plus 5 years, then discard.* (40 CFR 60.153, 40 CFR 122.21, 40 CFR 270.10, 40 CFR 280.45, 40 CFR 372.10, 40 CFR 403.12, California Health and Safety Code (HSC) 25200.3, and GC 34090.7)~~
- ~~(d) Engineering Division correspondence, memoranda, notes, photographs, notices of completion, and site assessments. **Disposition:** *Permanent*~~

14. Project Reports

~~These are environmental impact and assessment reports prepared in association with environmental projects. Many of these reports were prepared by outside consultants. **Disposition:** *Permanent*~~

LAND DEVELOPMENT**1513. Land Development Files**

Files contain maps, plans, photographs, correspondence, reports, studies related to land development projects (earliest related to 1911 Improvement Bonds; later relate to Crosstown Freeway utility relocations). Files are used to plan, determine, and document land development. Current files are vital records.

(a) Final ~~m~~Maps and ~~and Parcel Maps are maintained permanently by the County of Santa Barbara following their recordation.~~ Project plans, photographs, correspondence regarding land development decisions, and reports and studies related to ~~Final Maps, Parcel Maps, and~~ land development projects ~~are maintained by the City.~~ **Disposition:** *Permanent*

(b) Reports and studies approved by the City Council. Record copy is in the Administrative Services Department, City Clerk's Office. **Disposition:** *Retain 1 year after completion of report or project, or discard sooner if no longer needed for reference.* (GC 34090.7)

~~16.-(f)(c)~~ Lot Split Records. ~~Tentative lot split Mmaps and~~ documents relating to the subdivision ("splitting") of City lots ~~and~~ are the product of the City's review of lot splits and subdivisions. **Disposition:** *Permanent*

~~16.-(g)(d)~~ Subdivision Maps. ~~Tentative subdivision Mmaps document mergers and subdivisions, the changing and creation of~~ street alignments, road ~~abandonment~~vacations, ~~and~~ land subdivision, and ~~facilitate~~ property development ~~in Santa Barbara.~~ They are the product of the City's review of lot splits and subdivisions. **Disposition:** *Permanent*

REAL PROPERTY**1614. Real Property Files**

Files contain ~~project design and right-of-way~~ maps, public project plans, photographs, correspondence, reports, deeds, legal documents, chain of title information, insurance forms, risk management items, leases, licenses, easements, encroachment permits, and other materials related to the acquisition, management, and disposal of City-owned land and public rights-of-way inside and outside the City. Current files are vital records.

(a) Final revised ~~design and right-of-way~~ maps, public project plans, photographs, correspondence, significant reports having long-range importance, deeds, legal documents, chain of title data, leases, licenses, encroachment permits, and other materials regarding decisions related to City-owned real property and public rights-of-way matters. **Disposition:** *Permanent*

(b) Staff working papers and preliminary maps. **Disposition:** *Retain 1 year after completion of project, or discard sooner if no longer needed for reference.*

- (c) Reports and studies having short-term significance, and deeds, title data, leases, licenses, easements, encroachment permits and other materials (duplicate). Record copy is in the Administrative Services Department, City Clerk's Office. **Disposition:** *Retain 1 year after completion of task, report or project, or when no longer needed for reference.* (GC 34090.7)
- (d) Insurance forms and risk management materials (duplicate). Record copy is in the Finance Department, Risk Management Division. **Disposition:** *Retain 2 years after close of project, then discard.* (GC 34090.7)
- (e) All other materials having no long-term significance for future reference. **Disposition:** *Retain 2 years after close of project, then discard.* (GC 34090 and GC 34090.7)

SURVEY OFFICE

1715. City Monument Books

Books document the existence or absence of City block monuments and movement of monuments to other sites. There should be a monument at each intersection. Current books are vital records. **Disposition:** *Permanent*

1816. Index of Water Department Field Books

Volume indexes the contents of the "Water Department Field Books" and contains information on transmission mains, reservoir projects, rights-of-way, and other Water Department surveys. **Disposition:** *Permanent*

1917. Survey Control Files

This is a reference file with data on survey monumentation within the City limits that was set by other agencies, including the U.S. Geological Survey and CalTrans. The data comes from various agencies including the United States Geological Survey and the County Surveyor. Record copy is with various agencies including the U.S. Geological Survey, the County Surveyor, and other outside agencies. Current files are vital records. **Disposition:** *Permanent*

2018. Survey Engineering Maps and Plans (oversize)

These are original maps, plans, and aerial photographs of City subdivisions, tracts, and areas. Current maps and plans are vital records. **Disposition:** *Permanent*

2119. Survey Field Books

Books contain survey information and other basic engineering data on the City's infrastructure (i.e., roads, bridges, harbor, airport). The books also show the location of survey monuments, parks, and water lines (Water Department Field Books). The airport field book is a photocopy. This is a vital record (documents engineering data for City infrastructure and buildings). **Disposition:** *Permanent*

2220. Survey Files

Files contain survey drawings, field notes, correspondence, survey research documents on coordinates, and other information used to provide information to engineers and to ensure that future surveys use the same coordinates. The files document survey activities. Current files are vital records. **Disposition:** *Permanent*

2321. Survey Network Documentation

These records document the location and construction of survey monuments used in topographic mapping. Included are aerotriangulation reports containing point coordinates, control points, and calculations. Current records are vital. **Disposition:** *Permanent*

ENGINEERING DIVISION OBSOLETE RECORDS**2422. Assessment and Improvement District Record Books**

Volumes contain maps, correspondence, reports, and other documentation of assessment and improvement districts such as sewer districts and lighting districts. **Disposition:** *Permanent*

2523. Assessment District Maps

Maps document projects funded by the 1911 and 1913-1915 assessment acts. This is a vital record. **Disposition:** *Permanent*

2624. City Block Maps

Volumes contain maps of City blocks created by the City Assessor. After 1960, the County Assessor assumed this function and created Parcel Maps. Some duplicate Block Maps are officially retained in the Administrative Services Department, City Clerk's Office. **Disposition:** *Permanent*

2725. City Engineer's Record Book of Surveys

The maps document street alignments, property ownership, and other property information. Earliest books contain hand-drawn and colored survey maps of kraft paper with linen backing and blueprints that show previous locations of historic buildings using the same color coding to indicate construction methods as the Sanborn Fire Insurance Maps (i.e., whether buildings are made of adobe or wood). Only the first volume is titled. These volumes continue the "Public Surveys Book, no. 1." **Disposition:** *Permanent*

2826. Field Book Index

Index cards provide information about private surveys and surveys for City projects. **Disposition:** *Permanent*

2927. Index to Plans

Index cards provide descriptions and a map/plan number for each Engineering map and plan. The index is now superseded. **Disposition:** *Permanent*

3028. Sewer Book and Index

Book contains sewer profile drawings and information on applicable ordinances and dates for sewer grading (leveling). **Disposition:** *Permanent*

3129. Street Numbers

Index cards contain official street numbers (now superseded) for structures in Santa Barbara. **Disposition:** *Permanent*

FACILITIES MAINTENANCE DIVISION

BUILDING MAINTENANCE

3230. Backflow Device Files

Files contain inspection maintenance reports and other materials documenting every backflow device in City facilities. The backflow devices protect the City's water system by preventing contaminated water from backing up into water lines. Record copy is in the Water Resources Division. **Disposition:** *Retain for life of device; then discard.* (California Public Utilities Commission Resolution (CA PUC Res.) #A-4691)

3331. Facility Files

Files document maintenance at each City facility. **Disposition:** *Retain for life of facility; then discard.*

3432. Project Files

Files document maintenance projects such as those making restrooms handicapped accessible or improving lighting. Files pertain to open, closed, and dormant projects. Current files are vital records. **Disposition:** *Discard 10 years after project is complete.* (CCP 337.15 and 337.1)

3533. Street Light Petition Files

Files contain street light petitions, engineering drawings, surveyor's records, and other materials related to the addition of street lights. Current files are vital records. **Disposition:** *Discard materials after 5 years.* (GC 34090)

3634. Work Order Reports

Reports contain information on work order numbers, location of work, problem leading to work order, trade required to repair problem (i.e., carpenter, electrician, etc.), and other related information. Reports are prepared daily, monthly, and for each trade. **Disposition:** *Discard after 2 years.* (GC 34090)

3735. Work Orders

Work orders document maintenance requests for City facilities. **Disposition:** *Discard after 2 years.* (GC 34090)

CUSTODIAL**3836. Custodial Maintenance Subject Files**

Files contain job descriptions, custodial evaluations, vacation schedules, Fiesta information such as portable toilet requisitions, custodial equipment information, accident reports, and custodial requisitions. **Disposition:** *Discard after 5 years or when superseded.* (GC 34090)

ELECTRICAL MAINTENANCE**3937. Project Files (open)**

Files contain materials documenting current traffic signal projects. **Disposition:** *Discard 10 years after project is complete.* (CCP 337.15 and 337.1)

4038. Radio Licensing Files

Files contain one, two, and five year licenses for every City-owned radio frequency and provide information on the location of the radio and the frequency assigned to it. **Disposition:** *Discard 2 years after expiration of license.* (GC 34090)

4139. Site Project Files

Files contain correspondence, contracts, maintenance requests, and other materials documenting maintenance work done on radios, computers, telephones, traffic signals, and facilities. **Disposition:** *Retain for life of equipment or as needed for reference, then discard.*

4240. Traffic Signal General Project Files

This is a reference file containing correspondence, pricing data, and technical information on traffic signals, the Opticon project, fire truck preemption, new intersections, relamping, signal painting, loop replacements, and other such topics. **Disposition:** *Discard after 5 years or when superseded.* (GC 34090)

4341. Traffic Signal Monthly Work Orders

The work orders document maintenance work completed on traffic signals on a quarterly and annual basis. **Disposition:** *Discard after 2 years.* (CCP 340)

4442. Work Order Reports

Reports document the work completed each month by each employee, including information on which City department required the work. **Disposition:** *Discard after 2 years.* (GC 34090)

MOTOR POOL**4543. Accounts Payable**

Files contain the original purchase orders for the Motor Pool. **Disposition:** *Discard after 2 years.* (GC 34090.7)

4644. Biennial Inspection of Terminals

Files contain safety inspection information on vehicles, generators, and pumps. Current files are vital records. **Disposition:** *Retain for life of vehicle/equipment or as needed for reference, then discard.*

4745. Flood Files

Files document the impact of the 1995 Santa Barbara flood on the Motor Pool. **Disposition:** *Discard when superseded or when no longer needed for reference.*

4846. Reference Files

Files contain vehicle information, vendor brochures and catalogs, and other related materials. **Disposition:** *Discard after 2 years or when superseded.* (GC 34090.7)

4947. Smog Records

Records document smog tests on City vehicles. Current records are vital. **Disposition:** *Retain for life of vehicle or as needed for reference; then discard.*

5048. Vehicle Records

Files document the history of each City-owned vehicle including all work completed on each vehicle, smog test documentation, and other vehicle-related information. Current records are vital. **Disposition:** *Retain for life of vehicle or as needed for reference; then discard.*

STREETS, PARKING, AND TRANSPORTATION OPERATIONS DIVISION

PARKING

5149. Billing Files

Files document money owed by the public for parking in parking structures. **Disposition:** *Discard after 2 years.* (GC 34090.7)

5250. Downtown Parking Committee Agenda and Minutes

Files contain the agendas and minutes for Downtown Parking Committee meetings, as well as audiotapes of meetings. This Committee was appointed by the City Council. Written minutes and agendas. **Disposition:** *Permanent*

5351. Location Files

Files document the resident parking program that issues permits to residents allowing them to park on the street outside their residence and contain correspondence and tracking paperwork. **Disposition:** *Discard 2 years after expiration of permit.* (GC 34090)

5452. Monthly Parking Program Information

Files contain contact and car registration information on parking permit holders. **Disposition:** *Discard 2 years after expiration of permit.* (GC 34090)

5553. Other Parking Program Files

Files contain contact and car registration information on permit holders for bike lockers, carpools, and other programs. **Disposition:** *Discard 2 years after expiration of permit.* (GC 34090)

5654. Parking Business Improvement Area Files

Files contain annual reports submitted to the City Council in accordance with the Streets and Highways Code, correspondence, engineer's reports, and other materials related to the Parking Business Improvement Area assessment district files. Record copy of annual report is in the Administrative Services Department, City Clerk's Office; record copy of financial records is in the Finance Department; record copy of engineer's reports is in the Engineering Division.

- (a) Assessment District correspondence regarding activities and policies of assessment district. **Disposition:** *Permanent*
- (b) Duplicate reports and records for which record copy is maintained by other City departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)

5755. Parking Expansion North of Carrillo Project Files

Files contain correspondence, reports, payment information, agreements, and other materials that document activities related to expanding parking facilities north of Carrillo Street. Record copy of payment information is in the Finance Department; record copy of agreements approved by the City Council is in the Administrative Services Department, City Clerk's Office.

- (a) Division correspondence and reports regarding project activities. **Disposition:** *Permanent*
- (b) Duplicate correspondence, reports, payment information, and agreements for which record copy is maintained by other City departments. **Disposition:** *Discard after 2 years.*
(GC 34090.7)
- (c) Routine correspondence such as that providing general information, replying to requests for information, referring inquiries elsewhere, forwarding materials, or acknowledging incoming letters. **Disposition:** *Discard after 2 years.* (GC 34090)

5856. Parking Project Files

Files contain copies of redevelopment agreements to operate parking lots and related correspondence. **Disposition:** *Retain for life of agreement plus 2 years, then discard.* (GC 34090)

5957. Parking Supervisor Maintenance Files

Files contain accident and incident reports, equipment information, program information, temporary personnel files, correspondence, and other parking-related information.

- (a) Personnel Material. **Disposition:** *Retain until employee termination or separation plus 1 year, then transfer to Human Resources for integration into official personnel file.* (GC 34090.7)
- (b) Accident and incident reports. **Disposition:** *Discard after 5 years.*
- (c) All other material. **Disposition.** *Discard after 5 years or when no longer needed for reference.* (GC 34090)

6058. Parking Supervisor Operation Files

Files contain correspondence, data, reports, flyers, newspaper clippings, and other parking-related materials and information. **Disposition:** *Discard after 2 years.* (GC 34090)

6159. Residential Parking Program Resident Information Sheets

Sheets contain contact and other information about residential parking program permit applicants. **Disposition:** *Discard 2 years after expiration of permit.* (GC 34090)

6260. Treasury Reports

Files document daily revenue bank deposits. Record copy is in the Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

6361. Vendor History Files

Files document vendor interactions. **Disposition:** *Discard 2 years after expiration of vender permit or when no longer needed for reference.* (GC 34090)

STREETS**~~64. Sidewalk Repair Files~~**

~~Files contain correspondence, reports, complaints, and other materials related to sidewalk repair work. Current files are vital records. **Disposition:** *Discard 10 years after completion of project or when no longer needed for reference.* (CCP 337.15 and 337.1)~~

62. Street Maintenance Location Files.

Files contain correspondence, reports, complaints, and other materials related to repairs and maintenance of sidewalks, including pedestrian walkways and bridges; curbs; pavement; pavement markings and striping; curb markings; traffic and street signage; storm drains; and graffiti abated on public right-of-way property. Current files are vital records.

Disposition: Discard after 10 years or when no longer needed for reference.

65. Storm Drain File

~~Files contain correspondence, photographs, maps, and plans related to the City's storm drains. Current records are vital records.~~ **Disposition:** Permanent

63. Street Maintenance Subject Files.

Files contain correspondence, reports, complaints and other materials related to specific subjects. Current files are vital records.

- (a) Laguna Pump Station, Laguna Channel, and Laguna Tide Gates. Files include contracts and purchase orders for maintenance of equipment and facility; vegetation and/or silt clearing; and related permit files from agencies such as the California Department of Fish and Game. **Disposition:** Permanent.
- (b) Street Sweeping Subject Files. Files contain maps of routes, sweeping schedules, records of debris collected, mileage swept, and street sweeping parking citations. Also included are bid specifications and contracts with street sweeping contractors. **Disposition:** Discard after 10 years or when no longer needed for reference.
- (c) Graffiti Abatement files. Files include locations of private property given 3-Day Notices by Streets staff to remove graffiti, graffiti removal permission forms from private property owners, and billing records for graffiti abatement for private property owners. **Disposition:** Discard after 10 years or when no longer needed for reference.
- (d) City Annex Yard (401 E. Yanonali St). Files include records of agreements with other City divisions which use and share costs for utilities, repairs and maintenance, yard monitoring, and disposal services, and agreements with outside agencies for use of the Annex Yard. **Disposition:** Discard after 10 years or when no longer needed for reference.

66. Street Files

~~Files contain photographs, correspondence, complaint forms, work orders, and other materials related to street maintenance. Current files are vital records. **Disposition:** Discard 10 years after completion of project or when no longer needed for reference. (CCP 337.15 and 337.1)~~

64. Project Files.

Files include contracted maintenance and/or repair project files, bid specifications, purchase orders, insurance certificates, and correspondence regarding concrete sidewalk replacements.

planned or emergency storm drain pipe or inlet repairs, debris clearing, masonry wall repairs, and guardrail repairs. **Disposition:** Discard after 10 years or when no longer needed for reference. (CCP 337.15 and 337.1)

67. Street Maintenance Reports

~~Files contain reports of labor, equipment, and materials used for street and sidewalk repairs. **Disposition:** Discard 10 years after completion of project or when no longer needed for reference. (CCP 337.15 and 337.1)~~

65. Supervisor desk files.

Files include supervisors' notes regarding ongoing projects and personnel issues. **Disposition:** Discard after 10 years or when no longer needed for reference.

68. Street Work Reports

~~Reports track materials, equipment, and labor hours used for street maintenance. Included is work on stormdrains, paving, and sidewalks. Current files are vital records. **Disposition:** Discard 10 years after completion of project or when no longer needed for reference. (CCP 337.15 and 337.1)~~

TRANSPORTATION OPERATIONS

6966. Location Files

Files contain correspondence, reports, studies, and investigations of traffic operations, signage, visibility, signal information, and other factors used to make intersections safer and improve traffic flow. Current files are vital records.

- (a) Reports, studies, and investigations of traffic operations, signage, visibility, signal information, and other materials documenting traffic flow and traffic safety improvements. **Disposition:** Retain for the life of the structure, or when information becomes obsolete, then discard. (GC 34090)
- (b) Transitory administrative and supporting documentation such as requests for information and for transmittal of publications, photographs, and other informational literature. **Disposition:** Discard after 1 year. (GC 34090)

7067. Schools Subject Files

Files contain studies concerning school pick-up and drop-off patterns, safest pedestrian paths, and other issues and are used to set traffic patterns for schools (i.e., by siting traffic signals or restricting left or right turns). **Disposition:** Retain studies and other materials regarding school pick-up and drop-off patterns, safest pedestrian paths, and other materials documenting school traffic patterns for the life of the structure, or when information becomes obsolete; discard transitory administrative and supporting documentation after 1 year. (GC 34090)

7168. Speed Surveys Subject Files

Files contain speed surveys. These were conducted every 7 years, but now are conducted every 5 years. They are used to set legal speed limits and are used in court cases. Current files are vital records. **Disposition:** *Discard after 10 years or when no longer needed for reference.*

7269. Traffic Collision Reports/Traffic Accident Reports

Reports describe collisions in Santa Barbara and are used to determine whether intersections should be designated "problem" intersections. Record copy is in the Police Department.

Disposition: *Discard after 2 years.* (GC 34090.7)

7370. Transportation and Parking General Files

Files contain Parking Committee minutes and meeting audiotapes, materials related to construction of the cross town freeway and freeway interchange construction, accident reports, and other materials related to transportation and parking.

- (a) Correspondence, reports, and other records related to the construction of the Crosstown Freeway and freeway interchanges. **Disposition:** *Permanent*
- (b) Duplicate correspondence, reports, and materials maintained by other City divisions and departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)
- (c) Accident reports regarding accidents in parking and transportation facilities.
Disposition: *Retain 3 years after last activity.*

7471. Transportation Operations Files

Files contain correspondence, reports, notes, maps, street plans, traffic signal studies, and other materials related to transportation operations.

- (a) Transportation Operations Section correspondence, reports, notes, and street plans documenting section activities. **Disposition:** *Permanent*
- (b) Duplicate records such as maps, correspondence, and reports maintained by other City divisions and departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)
- (c) Traffic Signal Studies. **Disposition:** *Discard after 5 years or when superseded.* (GC 34090)

TRANSPORTATION PLANNING/ALTERNATE TRANSPORTATION DIVISION

7572. Subject Project Files

Files contain maps, plans, reports, correspondence and other materials related to larger transportation land development files. These are a portion of the transportation planning land development files.

- (a) Plans, maps, drawings, and reports related to transportation planning. **Disposition:** *Permanent* (California Streets and Highways Code (SHC) 128)
- (b) Division records such as correspondence, engineering calculations, and other materials related to transportation planning issues. **Disposition:** *Permanent*
- (c) Duplicate correspondence, reports, resolutions, environmental impact reports, and other materials maintained by other City divisions and departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)

7673. Transportation Planning Land Development Files

Files contain maps, drawings, resolutions, correspondence, engineering calculations, reports, environmental impact reports, and other materials related to transportation planning land development projects.

- (a) Plans, maps, drawings, and reports related to transportation planning. **Disposition:** *Permanent* (SHC 128)
- (b) Division records such as correspondence, engineering calculations, and other materials related to transportation planning issues. **Disposition:** *Permanent*
- (c) Duplicate correspondence, reports, resolutions, environmental impact reports, and other materials maintained by other City divisions and departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)

WATER RESOURCES DIVISION

7774. Board of Water Commissioners Minutes

Files contain minutes of Board of Water Commissioners meetings. **Disposition:** *Permanent*

7875. Water Resources Project and Location Subject Reports

Files contain Water Commission minutes and agendas (1900-2000), reports, studies, correspondence, annual reports, water production logs for the Cater Water Treatment Plant, water supply operations plans and agreements, reservoir rainfall data (1914-1950s), pumping plant records, land leases, brochures, flyers, contracts, and other materials related to water

resources issues such as water development, and distribution, dams, water reclamation, desalination, waste disposal, and revenues. Record copy of contracts, agreements, and leases approved by the City Council is in the Administrative Services Department, City Clerk's Office; record copy of materials documenting revenue is in the Finance Department.

- (a) Water Commission minutes and agendas, division staff reports and studies, annual reports, water production logs for the Cater Water Treatment Plant, water supply operations plans and agreements, reservoir rainfall data, pumping plant records, and correspondence concerning policy setting, division actions, desalination, and waste disposal. **Disposition:** *Permanent*
- (b) Brochures and flyers regarding water resources issues. **Disposition:** *Discard when no longer needed for reference.*
- (c) Duplicate agreements, contracts, land leases, and revenue records. **Disposition:** *Discard after 2 years or when no longer needed for reference. (GC 34090.7)*
- (d) Duplicate reports, correspondence, and records maintained by other departments or outside agencies. **Disposition:** *Discard after 2 years. (GC 34090.7)*
- (e) Routine correspondence such as that providing general information, replying to requests for information, referring inquiries elsewhere, forwarding materials, or acknowledging incoming letters. **Disposition:** *Discard after 2 years. (GC 34090)*

7976. Water Resources Subject Files

Files contain reports, correspondence, maps, policies, permits, council agendas, administrative records, technical data logs, and other materials related to subjects such as water contamination, desalination, and other water resources issues. Record copy of building permits for water resources facilities are in Community Development Department, Building and Safety Division; record copy for Council agendas is in the Administrative Services Department, City Clerk's Office.

- (a) Desalination records containing information on the planning and construction of a desalination plant. **Disposition:** *Permanent*
- (b) Technical data logs on Santa Barbara's water resources and quality. **Disposition:** *Permanent*
- (c) Water Resources Division correspondence documenting policies, procedures, and administrative decisions. **Disposition:** *Permanent*

- (d) Duplicate correspondence, reports, permits, maps, Council agendas, and records maintained by other City departments. **Disposition:** *Discard after 2 years or when no longer needed for reference.* (GC 34090.7)
- (e) Routine correspondence such as that providing general information, replying to requests for information, referring inquiries elsewhere, forwarding materials, or acknowledging incoming letters. **Disposition:** *Discard after 2 years.* (GC 34090)

DISTRIBUTION AND COLLECTION

8077. Backflow Device Files

Files document the yearly testing of backflow devices. Current files are vital records.

Disposition: *Discard after 6 years.* (CA PUC Res. #A4691)

8178. Completed Work Orders and As-Built Files

Files document replacement or installation work done on the City's water and sewer system and include work orders showing what changes need to be made to the City's sewer atlas. Also included are as-built files documenting the changes made during replacement or installation work. Current files are vital records.

- (a) Equipment repair records. **Disposition:** *Retain equipment repair records for life of equipment or as needed for reference, then discard.* (CA PUC Res. #A-4691)
- (b) Work orders for replacement or installation work on the City's water and sewer system and work orders showing what changes need to be made to the City's sewer atlas. **Disposition:** *Discard work orders 6 years after completion of work.* (CA PUC Res. #A-4691)
- (c) As-Built Files. **Disposition:** *Discard 6 years after the City's sewer atlas has been changed to reflect the completed replacement and installation work on the water and sewer system.* (CA PUC Res. #A-4691)

8279. Fire Hydrant and Waste Water Meter Files

Files document use of fire hydrant water by private contractors. There is a folder for each meter. Current files are vital records. **Disposition:** *Discard after 2 years.* (GC 34090)

8380. Geological Log

Logs record calculations and geological information associated with the construction of Mission Tunnel. **Disposition:** *Permanent*

8481. Gibraltar Dam Subject File

Files document modifications to Gibraltar Dam, including inspection, desilting, and federal grant information. Current file is a vital record. **Disposition:** *Permanent*

8582. Gibraltar Reservoir Daily Report

Reports contain data on turbidity of the water, elevation of the lake, evaporation from the lake, diversion of water into the Gin Chow Diversion and the Devil's Canyon Diversion. The reports also contain temperature and rainfall data. **Disposition:** *Permanent*

8683. Operational Log of Gibraltar Dam Storm Conditions

Logs document the operation of Gibraltar Dam during storm conditions. They include information on the opening of the four gates on the dam and of the skimmer gate, as well as on the elevation of the lake, weather status, number of crew on hand, time crew arrived at and left the dam, and the number of gates working. **Disposition:** *Permanent*

8784. Sewer Installation Files

Files document the installation of the City's sewers and include information on crew members involved, materials used, and location. **Disposition:** *Permanent*

8885. Street Files

Files contain information on water main replacement, including when the main was installed, crew members involved, and materials used. Current files are vital records. **Disposition:** *Permanent*

8986. Vehicle Inspection Sheets

Sheets document the inspection of Water Resources vehicles. Current sheets are vital records. **Disposition:** *Retain for life of vehicle, then discard.* (CA PUC Res. #A-4691)

9087. Vehicle Maintenance Slips

Files document repairs to Water Resources vehicles. **Disposition:** *Retain for life of vehicle, then discard.* (CA PUC Res. #A-4691)

9188. Vendor Catalog Files

Files contain equipment catalogs from vendors. This is reference file, not a City record. **Disposition:** *Discard when superseded or no longer needed for reference.*

9289. Waste Water Incident Reports

Reports document Public Works response to sewer leaks or sewer lateral breaks and contain information on crew members and materials used and location and description of the problem. Current report plus one is a vital record. **Disposition:** *Discard after 20 years.*

9390. Water Incident Reports

Files document the division's response to problems with water lines (i.e., water leaks and line breaks) and contain information on the staff and materials used, work completed, source of the problem and other related issues. Current files are vital records. **Disposition:** *Discard after 20 years.*

LABORATORIES**9491. Annual Water Quality Report**

These reports are submitted to the California State Department of Health, Office of Drinking Water, and document the quality of Santa Barbara's waste water and drinking water. Separate reports are generated for waste water and drinking water. Current reports are vital records.

Disposition: *Permanent.*

9592. Laboratory Equipment Maintenance Files

Files are used for quality control monitoring and document repairs to laboratory equipment. Files include correspondence, work orders, reports, and other related materials. Current files are vital records. **Disposition:** *Retain for life of equipment or as needed for reference, then discard.* (CA PUC Res. #A-4691)

9693. Raw Data Files

Waste water and drinking water monitoring data. Reports to the California Department of Health Services are based on this data. Current raw data is a vital record.

(a) Waste water files. **Disposition:** *1) Data dated prior to 2000: Retain permanently;*
2) Data dated after 2000: Discard after 5 years. (HSC 25200.3)

(b) Drinking water files. **Disposition:** *1) Data dated prior to 2000: Retain permanently;*
2) Data dated after 2000: Discard after 10 years. (CA PUC Res. #A-4691)

9794. Waste Water Metal Files

Files contain raw data documenting metal found in waste water. Current files are vital records. **Disposition:** *Discard after 5 years.* (HSC 25200.3)

WASTEWATER TREATMENT**9895. Air Pollution Control District/Environmental Protection Agency/Tri-Counties Files**

Files contain memoranda, correspondence, reports, inspection records, permit orders, regulations, and other materials that document the City's air pollution control activities and compliance. Current files are vital records.

(a) Organizational and Project Files. Files containing administrative directives, policy studies and reports, formal memoranda, and similar records documenting the formulation and implementation of projects, policies, and programs. **Disposition:** *Permanent*

(b) Administrative Procedural Files. Administrative announcements, routine correspondence and memoranda, statements, reports, and other records of Division management pertaining to office procedures and distributed within the division or among City offices. **Disposition:** *Discard after 5 years or when superseded.* (GC 34090)

(c) Monitoring and inspection data documenting City's compliance with state air pollution regulations. **Disposition:** *Discard after 3 years.* (40 CFR 61.14, HSC 42705 and 44019)

9996. Discharge Self-Monitoring Reports

Files contain monthly Discharge Self-Monitoring Reports to the Environmental Protection Agency and the California Water Quality Control Board. Current report plus one are vital records. **Disposition:** *Retain permanently.* (40 CFR 122.41)

10097. Water Reclamation Plant Reports

Files contain quarterly Water Reclamation Plant Reports to the California Water Quality Control Board. Current report plus one are vital records. **Disposition:** *Permanent*
WATER TREATMENT

10198. Annual Reports

Annual reports of the activities of the Cater Water Treatment Plant. **Disposition:** *Permanent*

10299. Billing Files

Files contain documentation for billings sent to South Coast water users, including Carpenteria and Montecito. Record copy is in the Finance Department. **Disposition:** *Discard 7 years after end of fiscal year to which the records relate.* (26 CFR 1.6001-1 and California Code of Regulations (CCR) § 19141.6)

103100. Daily Logs of Water Treatment Facility

Reports contain daily information on water temperature, turbidity, chlorine levels, amount of chemicals used, odor, taste, and other water quality data. Daily logs for current month plus one are vital records. **Disposition:** *Retain for life of facility.* (CA PUC Res. #A-4691)

104101. Drawings and Specifications for Water Treatment Facilities

Files contain copies of maps, drawings, and specifications for the construction or modifications of water treatment facilities. Current drawings and specifications are vital records. **Disposition:** *Permanent*

105102. General Information Files

Files contains reservoir specifications for Sheffield Dam, annual reports, and information on water treatment and related issues.

(a) Sheffield Dam Specifications. **Disposition:** *Permanent*

- (b) Annual Reports for Water Treatment Section and reservoirs. **Disposition:** *Permanent*
- (c) Reference information concerning to water treatment and related issues. **Disposition:** *Retain for life of the facility.* (GC 34090)

106103. Maintenance Files

Files contain information and maintenance documentation for each piece of equipment and each facility associated with treatment of the City's water. Current files are vital records.

- (a) Facility-related materials. **Disposition:** *Retain for life of the facility.* (CA PUC Res. #A-4691)
- (b) Equipment-related materials. **Disposition:** *Retain for life of equipment or as needed for reference, then discard.* (CA PUC Res. #A-4691)

107104. Mission Industries Site Characterization Files

Files contain correspondence, monthly and annual reports, studies, sampling reports, and other information on soil and water quality at the Mission Industries Site. Included is information on the distribution of solvents in the ground and soil. **Disposition:** *Permanent*

108105. Monthly Report Work File

Files contain summarized information from the Daily Logs. The first year of the file's existence the summary was handwritten, since then, the file has been maintained in electronic format. **Disposition:** *Retain for life of the facility.* (CA PUC Res. #A-4691)

109106. Plant Operator Daily Logs

These are logs of daily activities of Cater Water Treatment Plant operators. **Disposition:** *Retain for life of the facility.* (National Association of Regulatory Utility Commissioners 23.3a)

110107. Safety Meeting Minutes

These are minutes of staff safety meetings at which safety procedures are discussed. **Disposition:** *Discard after 3 years.*

111108. Specification Sheets

These are as-built records for all the City's water treatment facilities. Specification sheets for existing facilities are vital records. **Disposition:** *Permanent*

112109. Well and Water Quality Files

Files contain data on wells, water levels, and water quality in Santa Barbara. **Disposition:** *Permanent*

WATER SUPPLY MANAGEMENT DIVISION

113110. Meter Test Reports

Reports contain information on meter flow rates collected in response to citizen inquiries.

Disposition: *Discard after 6 years.* (CA PUC Res. #A-4691)

114111. Water Check-Up Reports

Files contain water check-up reports on properties around the City and water consumption evaluations and recommendations to customers. **Disposition:** *Discard after 5 years.* (CA PUC Res. #A-4691)

115112. Water Supply Management Subject Files

Files contain reports, correspondence, technical logs, well data, hydrology data, water supply data for various rivers/creeks, and other materials related to water supply planning, water districts, water reclamation, and related topics.

- (a) Division staff reports, correspondence relating to policy and water supply planning, water reclamation, and water district decisions, as well as technical logs, well data, hydrology data, and water supply data for various rivers/creeks. **Disposition:** *Permanent*
- (b) Duplicate reports, correspondence, and reference information maintained by other City departments or received by the Water Supply Management Division by outside agencies. **Disposition:** *Discard after 2 years.* (GC 34090.7)

CITY OF SANTA BARBARA, CA WATERFRONT DEPARTMENT

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE WATERFRONT DEPARTMENT. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

RETENTION AND DISPOSITION INSTRUCTIONS FOR RECORDS COMMONLY FOUND IN MOST CITY OFFICES, INCLUDING ROUTINE ADMINISTRATIVE AND HOUSEKEEPING RECORDS ARE LISTED IN A SEPARATE SCHEDULE ENTITLED "RECORDS COMMON TO MOST OFFICES."

IF NO LEGAL RETENTION AUTHORITY IS CITED, RETENTION PERIOD IS BASED ON STANDARD RECORDS MANAGEMENT PRACTICE AND EXPERIENCE OF HISTORY ASSOCIATES INCORPORATED.

BUSINESS OFFICE

1. Administrative Files

Files contain correspondence, memoranda, reports, plans, maps, and other materials related to Waterfront manager activities and topics such as personnel, management, harbor events, harbor publicity, dredging, boat slips, and marine issues.

- (a) Waterfront manager correspondence, memoranda, and reports concerning departmental policies, programs, events, personnel, and related administrative issues. **Disposition:** *Retain 5 years or until no longer needed for reference.* (California Government Code (GC) 34090)
- (b) Duplicate plans and maps of Waterfront facilities. Record copy is in the Public Works Department, Engineering Division. **Disposition:** *Retain 2 years or until no longer needed for reference.* (GC 34090.7)

2. Business Activity Reports

Yearly permits to conduct business (i.e., clean boats, repair boats, or run charter boats) in the harbor area. **Disposition:** *Discard 2 years after termination of permit.* (GC 34090)

3. Cash Register Tapes

These cash register receipt tapes are from parking kiosks, the department's front counter, and the Harbor Patrol Office and serve as backup documentation to the Treasury Reports. **Disposition:** *Discard after 2 years.* (GC 34090)

4. Commemorative Plaque Program

Files contain records related to the placement of commemorative plaques at trees or on benches located in the Waterfront area. Records also document a funding mechanism for the planting of trees and placement of benches in specified locations in the Harbor. **Disposition:** *Retain for 10 years, then discard.*

5. Daily Parking Kiosk Revenue Reports ("Tear Sheets")

These are internal daily reports on money collected at the Parking/Information Kiosks. They are used for internal audits on monies received. **Disposition:** *Discard after 2 years.* (GC 34090)

6. Engineering Project Files ("Facility Location Files")

These are engineering project files that consist of project design, construction, and accounting files and include correspondence, reports, photographs, plans, maps, copies of contracts, and other related materials. The files document dredging in the harbor, marina expansion, harbor maintenance, and other harbor construction related activities. Current files are vital records.

- (a) Final maps, plans, designs; photographs; staff reports; project correspondence; and construction files. Record copy is in the Public Works Department. **Disposition:** *Discard when no longer needed for reference.* (GC 34090.7)
- (b) Accounting Files. Record copy is in the Finance Department. **Disposition:** *Retain until project completion plus 2 years.* (GC 34090.7)
- (c) Contracts (duplicates). These are duplicates of Public Works contracts that require City Council approval. Record copy is in the Administrative Services Department, City Clerk's Office. **Disposition:** *Discard upon termination or completion and final payment.*

7. Environmental Impact Reports

Environmental impact reports contain historical and environmental information about projects in the Harbor Area. They are retained for reference purposes. Record copy is in the Community Development Department. **Disposition:** *Discard when no longer needed for reference.* (GC 34090.7)

8. Film Permit Files

Files contain permits for production companies to film in the waterfront area, as well as correspondence and other related materials. **Disposition:** *Discard after 4 years.* (California Code of Civil Procedure (CCP) 337)

9. Harbor Commission Files

Files contain Harbor Commission meeting minutes and agendas, agenda packets, correspondence, reports, studies, and other materials related to harbor issues such as Stearns Wharf, grand jury investigations, and commission activities. **Disposition:** *Permanent*

10. Harbor and Outer Lot Permits

These are annual parking permits for the Waterfront parking lots. **Disposition:** *Discard 2 years after expiration of permit.* (GC 34090)

11. Litigation Files

Files contain notes, drafts, backup information, and other materials related to litigation cases. Some information is duplicate of City Attorney records. **Disposition:** *Retain for 10 years for reference, then discard.*

12. Parking ("Honor Fee") Cash Records

These are daily parking cash records for the "honor" lots that are not controlled by kiosks.

Disposition: *Discard after 2 years.* (GC 34090)

13. Permanent Employee Benefit Accrual Usage Reports

Reports document the benefits accrued by each permanent Waterfront Department employee.

Record copy is in the Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

14. Slip Files

Files contain correspondence, forms, contact information, payment records, reports, notes, and other information documenting active and terminated (boat) slips and their tenants. Current files are vital records. **Disposition:** *Discard 4 years after termination or breach of slip agreement.* (CCP 337)

15. Slip Waiting List

Files contain contact information for individuals on the waiting list to acquire a slip permit or rent a slip, as well as associated correspondence and related materials. **Disposition:** *Retain until superseded.*

16. Special Event Files

Files document parking and other activities related to special events, especially those that involve the harbor area, and consist of correspondence, reports, notes, and other associated materials.

Disposition: *Discard after 2 years or when no longer needed for reference.* (GC 34090)

17. Stearns Wharf Fire Records

Files document the Stearns Wharf fire and its aftermath. They contain correspondence, reports, photographs, and other related materials. **Disposition:** *Permanent*

18. Tenant Billing Records

Monthly billing records for business tenants on Stearns Wharf and in the Harbor area. Included are invoice copies and payment records. Record copy is in the Finance Department.

Disposition: *Discard after 2 years.* (GC 34090.7)

19. Transfer Receipt Book

Receipt book contains documentation for the transfer of boat slips from one tenant to another. Record copy is in the Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

20. Treasury Reports/Receipts

Treasury reports document money collected at the parking kiosks, department front counter, and Harbor Patrol office. The original receipts are sent to the Finance Department; copies and the validation receipt are returned to the Waterfront Department. Record copy is in the Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

21. Waterfront Department Files

Files contain correspondence, reports, merchant lease agreements, planning documents, event files, and other materials related to Stearns Wharf, the harbor, boat slips, merchants in harbor and wharf areas, and the development of mooring and anchoring regulations.

- (a) Correspondence and reports concerning the development of Santa Barbara's waterfront area, waterfront planning documents, correspondence and reports concerning merchant lease policies in the waterfront area. **Disposition:** *Permanent*
- (b) Merchant Lease Agreements. Agreements between the City and merchants who wish to establish businesses in the waterfront area. These leases require City Council approval. Record copy is in the Administrative Services Department, City Clerk's Office. **Disposition:** *Retain for life of lease plus 2 years; then discard.* (GC 34090.7)
- (c) Mooring and Anchoring Regulations.
 - (1) Information compiled and used to enact rules and regulations for the issuance of mooring permits, setting of minimum specifications for the installation, inspection and repair of such moorings, and the establishment of a list of contractors approved to install and inspect moorings. **Disposition:** *Permanent*
 - (2) Mooring Permits. **Disposition:** *Retain 4 years after termination, then discard.*

FACILITIES MANAGEMENT

22. Material Safety Data Sheets (MSDS).

List of each hazardous chemical containing information on the manufacture, proper, use, storage, and other relevant safety information. **Disposition:** *Discard 30 years after the last use of the chemical.* (29 Code of Federal Regulations (CFR) 1910.1200 (g) and 29 CFR 1910.1020 (d))

23. Stearns Wharf Administrative Subject Files

Files contain equipment maintenance records, work and maintenance schedules, procedures, ongoing project files and status reports, specifications, California codes, waste manifests, and pile driving contracts.

- (a) Pile Driving Contracts. These contracts do not require City Council approval. Current pile driving contracts are vital records. **Disposition:** *Retain until termination or completion and final payment plus 5 years.* (41 CFR 105-71.142 and GC 34090)
- (b) Project Files. **Disposition:** *Permanent*
- (c) Equipment Maintenance Files. **Disposition:** *Retain for the life of the equipment, as needed for reference.*
- (d) Specifications. Current specifications are vital. **Disposition:** *Retain until termination or completion of project and final payment plus 5 years.* (41 CFR 105-71.142 and GC 34090)
- (e) All other records. **Disposition:** *Transfer to storage when 1 year old. Discard when 3 years old.* (GC 34090)

24. Stearns Wharf Plans

These are as-built and working plans for Stearns Wharf. Current plans are vital records.

Disposition: *Permanent* (hard copy)

25. Stearns Wharf Safety Files

Files contain training, meeting, and incident documentation including correspondence, reports, and other related materials.

- (a) Training and meeting materials. **Disposition:** *Discard after 5 years or when superseded.* (GC 34090)
- (b) Incident records including reports and correspondence. **Disposition:** *Discard 5 years after the end of the year to which they relate.* (29 CFR 1904.6)

HARBOR OPERATIONS

26. California Law Enforcement Telecommunications System ("CLETS") Forms

Forms and associated correspondence document which employees have access to the telecommunications system. **Disposition:** *Discard when superseded.*

27. Case Logs

Logs document incidents on the waterfront that require Harbor Patrol involvement. **Disposition:** *Discard 10 years after the case is closed.* (California Harbors and Navigation Code (HNC) and GC 68152)

28. Case Reports

Reports contain information on incidents in the harbor that required Harbor Patrol involvement. **Disposition:** *Discard 10 years after the case is closed.* (HNC 1180.3 and GC 68152)

29. Citation Logs

Logs document citations written by the Harbor Patrol for infractions (disturbing the peace, littering, etc.) in the waterfront area. **Disposition:** *Discard after 5 years.* (GC 68152)

30. Cruise and Race Files

Files contain correspondence, memoranda, reports, information sheets, newspaper clippings, and other materials documenting cruises and boat races in the harbor area. **Disposition:** *Discard after 2 years.* (GC 34090)

31. Harbor Patrol Subject Files

Files contain correspondence, memoranda, reports, ride along program information, permits for buoys, contract surveys, high surf warning signs, MSDS inspection sheets, and other materials related to Harbor Patrol functions.

- (a) Material Safety Data Sheets (MSDS). List of each hazardous chemical containing information on the manufacture, proper, use, storage, and other relevant safety information. **Disposition:** *Discard 30 years after the last use of the chemical.* (29 CFR 1910.1200 (g) and 29 CFR 1910.1020 (d))
- (b) Buoy Permits. **Disposition:** *Discard after 5 years or when superseded.* (GC 34090)
- (c) All other records. **Disposition:** *Retain in office 2 years, then discard.* (GC 34090)

32. Impound and Found Property Reports

Reports document items found or impounded (i.e., boats) in the harbor. Items of minimal value are kept in the Harbor Patrol Office; valuable items are sent to the Police Department. **Disposition:** *Retain 1 year after property is found or impounded.* (CCP 340)

33. Permits for Vessel Storage

Records document permission to store boats on an annual or seasonal basis on West Beach, Cat Beach, Skiff Row, and East Beach mooring areas. **Disposition:** *Discard 2 years after permit is terminated.*

3334. Photographs

Photographs and slides document wrecks, fires, floods, harbor patrol activities, and other incidents and disasters in the harbor. They are used for historical and presentation purposes. **Disposition:** *Permanent*

3435. Radio License Files

These are licenses for radios operated by the Harbor Patrol. Record copy is in the Public Works Department, Electrical Maintenance Division. **Disposition:** *Discard 2 years after expiration of license.* (47 CFR 80.405)

3536. Slip Checks

The slip checks document that the Harbor Patrol checks twice per day whether visitor slips have been vacated. **Disposition:** *Discard after 2 years.* (GC 34090)

37. Vessel Lien Sale Records

Records document the sale of impounded vessels through a lien sale process. **Disposition:** *Retain for 4 years.*

3638. Visitor Registration Cards

Cards contain identifying information on visitors renting visitor boat slips and an agreement to pay the rental on these slips. **Disposition:** *Discard after 4 years.* (CCP 337)

3739. Watch Logs

Logs contain information on activities during each Harbor Patrol "watch" (i.e., shift), as well as on the weather during that watch. **Disposition:** *Discard after 5 years.* (GC 34090)

LIST OF AUTHORITIES CITED

**Citation Used
in Schedules**

Authority Name

CA CDBG Manual	California Community Development Block Grant Manual
CA PUC Res. #A-4691	California Public Utilities Commission Resolution #A-4691
CCP	California Code of Civil Procedure
CCR	California Code of Regulation
CFR	Code of Federal Regulations
GC	California Government Code
HNC	California Harbors and Navigation Code
HSC	California Health and Safety Code
IC	California Insurance Code
LC	California Labor Code
NARUC	National Association of Regulatory Utility Commissioners
PC	California Penal Code
SBCC	Santa Barbara County Code
SBMC	Santa Barbara Municipal Code
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Legal Research Concerning Records of the City of Santa Barbara, California

Citation	Type	Content
5 CFR 293.511	R	Retain employee occupational medical records for the duration of employment, plus 30 years.
8 CFR 274a.2	R	Retain form I-9 for 3 years after the date of hire or 1 year after termination, whichever is later.
14 CFR 107.23	R	Retain a record of airport law enforcement actions for a minimum of 90 days.
14 CFR 108.33	R	Retain airport employment history investigation files 180 days after employee termination.
14 CFR 139.327	R	Retain airport inspection records for 6 months.
14 CFR 151.55	R	Retain Federal Aviation Administration Airport Improvement Project grant materials including invoices, cost estimates, payroll materials, and evidence of all payments for 3 years after the date of the final grant payment.
24 CFR 92.508	R	<ul style="list-style-type: none"> ▪ Retain all records pertaining to each fiscal year of HOME funds for the most recent 5 year period including records concerning designation as a participating jurisdiction; program records; project records; Community Housing Development Organizations (CHDOs) records; financial records; program administration records; and records concerning other Federal requirements (i.e. equal opportunity and fair housing records, affirmative marketing and MBE/WBE records, records demonstrating compliance with the environmental review requirements, displacement, relocation, and real property acquisition, and lead-based paint requirements; records supporting exceptions to the conflict of interest prohibition; debarment and suspension certifications; and records concerning intergovernmental review. ▪ Retain records of rental housing projects, homeownership housing projects, and tenant-based rental assistance projects for 5 years after the project completion date; retain agreements for 5 years after the agreement terminates; retain records covering displacements and acquisition for 5 years after the date by which all persons displaced from the property and all persons whose property is acquired for the project have received the final payment to which they are entitled.
24 CFR 570.490	R	Retain Community Development Block Grant Program materials for 3 years after the closeout of the grant to the state.
26 CFR 1.6001-1	I	Retain accounting records so long as the contents thereof may become material in the administration of any internal revenue law.
26 CFR 31.6001-1	R	Employers required to deduct and withhold income tax on wages paid must keep records of such deductions for 4 years after due date of tax or when tax is paid, whichever is later.
28 CFR 66.42	R	Retain Justice Department grant and cooperative agreement records including all financial and programmatic records, supporting documents, and statistical records for 3 years after the closeout of the grant.
29 CFR 516.5	R	Retain payroll records, collective bargaining agreements, employment contracts, and sales and purchase records for 3 years.
29 CFR 516.6	R	Retain basic employee earnings records, wage rate tables, order, shipping, billing records, and records used by the employer in determining the original cost, operating and maintenance cost, and depreciation and interest charges for 2 years.
29 CFR 1627.3	R	Retention requirements for records relating to age, notices to be posted. Employment/personnel records of applicants who are hired and those who are not hired such as job applications, resumes, test papers of applicants, promotion, demotion, transfer, layoff, recall and discharge materials must be retained for a minimum of 1 year from the date of a personnel action. Pension and benefit plan materials must be retained for a minimum of 1 year after termination.
29 CFR 1904.4	R	Retain a supplementary record for each occupational injury or illness for 5 years following the end of the year to which they relate. Workmen's compensation, insurance, or other reports are acceptable alternative records if they contain the information required by Form OSHA No. 101.

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Legal Research Concerning Records of the City of Santa Barbara, California

Citation	Type	Content
29 CFR 1904.6	R	Retain occupational injury and illness records including logs, supplementary records, and annual summaries for 5 years following the end of the year to which they relate.
29 CFR 1910.1020(d)	R	Retain employee exposure and medical records for the duration of employment plus 30 years.
29 CFR 1910.1200(g)	I	Employers must develop, implement, and maintain a written program describing forms of warning, labels, materials safety data sheets, lists of hazardous chemicals, hazards of non-routine tasks, and employee information and training.
40 CFR 60.153	R	Sewage treatment plants must retain records for 2 years of the measured pressure drop of the gas flow through the wet scrubbing device, measured oxygen content of incinerator exhaust, the rate of sludge charged, measured temperatures of the incinerator, fuel flow to the incinerator, and total solids and volatile solids content of sludge charged to the incinerator.
40 CFR 61.14	R	Air pollutant monitoring data, monitoring system calibration check records, and records of the occurrence and duration of any period during which the monitoring system is malfunctioning or inoperative must be retained for 2 years.
40 CFR 122.21	R	EPA sewage treatment/wastewater permit program requires that the records of all monitoring data, including average flows and treatment, maximum production, improvements, effluent characteristics, storm water discharges, and biological toxicity test records must be retained for a minimum of 3 years.
40 CFR 122.41	R	All EPA administered permit programs require that the records of all monitoring information, including all calibration and maintenance records and all original strip charts must be retained for 3 years from the date of the sample, measurement, report or application.
40 CFR 270.10	R	EPA hazardous waste permit program requires that the records of all data used to complete permit applications must be retained for 3 years from the date the application is signed.
40 CFR 280.45	R	Underground storage tank records pertaining to a release detection system used and the manner in which detection is tested by the equipment manufacturer or installer must be maintained for 5 years; schedules of required calibration and maintenance provided by the release detection equipment manufacturer must be retained for 5 years from the date of installation; results of sampling, testing, or monitoring must be maintained for a minimum of 1 year; documentation of calibration, maintenance, and repair of release detection equipment must be maintained for a minimum of 1 year after service.
40 CFR 372.10	R	Retain toxic chemical release reports and supporting documentation for 3 years.
40 CFR 403.12	R	Pretreatment facilities must maintain monitoring records and reports for a minimum of 3 years.
40 CFR 763.121	R	Retain records of employee exposure to asbestos for the duration of employment plus 30 years; retain employee asbestos training records for the duration of employment plus 1 year.
41 CFR 105-71.142	R	Retain grant and cooperative agreement records of the Federal Property Management Regulations System including all financial and programmatic records, supporting documents, and statistical records for 3 years after the closeout of the grant.
44 CFR 13.42	R	Retain all financial and programmatic records, supporting documents, statistical records, and other records of grantees or subgrantees of Federal Emergency Management grants and cooperative agreements for 3 years from the start date of the retention period. When grant support is continued or renewed at annual or other intervals, the retention period for the records starts on the day the grantee or subgrantee submits to the awarding agency its single or last expenditure report for that period; if grant support is continued or renewed quarterly, the retention period starts on the day the grantee submits its expenditure report for the last quarter of the Federal fiscal year; if an expenditure report has been waived, the retention period starts on the day the report would have been due; in all other cases the retention period starts on the day the grantee submits its final expenditure report.
47 CFR 80.405	I	Current maritime radio station licenses and the most recently expired license must be kept on site.

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Legal Research Concerning Records of the City of Santa Barbara, California

Citation	Type	Content
49 CFR 653.71	R	Retain employee positive drug test results for a minimum of 5 years; retain records related to the collection of test data for a minimum of 2 years; retain negative test results for 1 year.
49 CFR 654.51	R	Retain employee alcohol test results indicating an alcohol concentration of 0.02 or greater, documentation of test refusals, equipment calibration documentation, and employee evaluation and referrals for a minimum of 5 years; retain records related to the collection of test data for a minimum of 2 years; retain records of test results less than 0.02 for a minimum of 1 year.
CCP 336a	I	<p>Within 6 years:</p> <ul style="list-style-type: none"> ▪ An action upon bonds, notes, or debentures issued by any corporation. ▪ An action upon any mortgage, trust, deed, or other agreement pursuant to which such bonds, notes or debentures were issued.
CCP 337	I	<p>Within 4 years:</p> <ul style="list-style-type: none"> ▪ An action upon any contract, obligation or liability founded upon an instrument in writing. ▪ An action to recover (1) upon a book account whether consisting of 1 or more entries; (2) upon an account stated based upon an account in writing, but the acknowledgment of the account stated need not be in writing; (3) a balance due upon a mutual, open and current account, the items of which are in writing. ▪ An action based upon the rescission of a contract in writing.
CCP 337.1	I	<p>No action shall be brought to recover damages from any person performing or furnishing the design, specifications, surveying, planning, supervision or observation of construction or construction of an improvement to real property more than 4 years after the substantial completion of such improvement for any of the following:</p> <ul style="list-style-type: none"> ▪ Any patent deficiency in the design, specifications, surveying, planning, supervision or observation of construction or construction of an improvement to, or survey of, real property. ▪ Injury to property, real or personal, arising out of any such patent deficiency. ▪ Injury to the person or for wrongful death arising out of any such patent deficiency.
CCP 337.15	I	<p>No action may be brought to recover damages from any person, or the surety of a person, who develops real property or performs or furnishes the design, specifications, surveying, planning, supervision, testing, or observation of construction or construction of an improvement to real property more than 10 years after the substantial completion of the development or improvement for any of the following:</p> <ul style="list-style-type: none"> ▪ Any latent deficiency in the design, specification, surveying, planning, supervision, or observation of construction or construction of an improvement to, or survey of, real property. ▪ Injury to property, real or personal, arising out of any such latent deficiency.
CCP 337.2	I	Where a lease of real property is in writing, no action shall be brought more than 4 years after the breach of the lease and abandonment of the property, or more than 4 years after the termination of the right of the lessee to possession of the property, whichever is the earlier time.
CCP 338	I	<p>Within 3 years:</p> <ul style="list-style-type: none"> ▪ An action upon a liability created by statute, other than a penalty or forfeiture. ▪ An action for trespass upon or injury to real property. ▪ An action for taking, detaining, or injuring any goods or chattels, including actions for the specific recovery of personal property. ▪ An action for relief on the ground of fraud or mistake. ▪ An action upon a bond of a public official except any cause of action based on fraud or embezzlement. ▪ An action against a notary public on his or her bond or in his or her official capacity except that any cause of action based on malfeasance or misfeasance. ▪ An action for slander of title to real property.

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Legal Research Concerning Records of the City of Santa Barbara, California

Citation	Type	Content
CCP 338 (continued)	I	<p>Within 3 years:</p> <ul style="list-style-type: none"> ▪ An action commenced under the Porter-Cologne Water Quality Control Act. ▪ An action challenging the validity of the levy upon a parcel of a special tax levied by a local agency on a per parcel basis. ▪ An action commenced under the Business and Professions Code 17536, Section 19 of Article I of the California Constitution, Health and Safety Code 39000, and Fish and Game Code 1603.1 or 5650.1.
CCP 338.1	I	An action for civil penalties or punitive damages authorized under Chapter 6.5 (commencing with Section 25100), Chapter 6.7 (commencing with Section 25280), or Chapter 6.8 (commencing with Section 25300) of Division 20 of the Health and Safety Code shall be commenced within 5 years after the discovery by the agency bringing the action of the facts constituting the grounds for commencing the action.
CCP 339	I	<p>Within 2 years:</p> <ul style="list-style-type: none"> ▪ An action upon a contract, obligation or liability not founded upon an instrument of writing. ▪ An action against a sheriff or coroner upon a liability incurred by the doing of an act in an official capacity and in virtue of office, or by the omission of an official duty including the nonpayment of money collected in the enforcement of a judgment. ▪ An action based upon the rescission of a contract not in writing.
CCP 340	I	<p>Within 1 year:</p> <ul style="list-style-type: none"> ▪ An action upon a statute for a penalty or forfeiture when the action is given to an individual, or to an individual and the state, except when the statute imposing it prescribes a different limitation. ▪ An action upon a statute for a forfeiture or penalty to the people of this state. ▪ An action for libel, slander, assault, battery, false imprisonment, seduction of a person below the age of legal consent, or for injury to or for the death of one caused by the wrongful act or neglect of another, or by a depositor against a bank for the payment of a forged or raised check, or a check that bears a forged or unauthorized endorsement, or against any person who boards or feeds an animal or fowl that results in injury or death to the animal or fowl, or who engages in the practice of veterinary medicine resulting in injury or death to an animal or fowl. ▪ An action against an officer to recover damages for the seizure of any property for a statutory forfeiture to the state, or for the detention of, or injury to property so seized, or for damages done to any person in making any such seizure. ▪ An action by a good faith improver for relief under Chapter 10 (commencing with Section 871.1) of Title 10 of Part 2 of the Code of Civil Procedure.
GC 11011.15	I	Department of General Services shall maintain a complete and accurate statewide inventory of all real property held by the state which shall be updated annually.
GC 12946	R	Retain applications, personnel, membership, or employment referral records and files for a minimum of 2 years after the records and files are initially created or received; retain personnel files of applicants or terminated employees for a minimum of 2 years after the date the employment action taken.
GC 24051	R	Retain annual inventories detailing all county- owned property for 5 years.
GC 25105.5	R	Retain records of claims against the county and special districts for 5 years after final action on the claim.
GC 25501.5	R	Retain requisitions received by the purchasing agent for 3 years.
GC 26202.1	R	Retain unaccepted bids or proposals for the construction or installation of any building, structure, bridge, or highway or other public works for 5 years.
GC 26907	R	Retain warrants or other documents issued as warrant vouchers, indexes, and warrant registers for 5 years.

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Legal Research Concerning Records of the City of Santa Barbara, California

Citation	Type	Content
GC 26907.1	R	An auditor or ex officio auditor may destroy any county, school or special district bonds or coupons which have been paid or canceled after 5 years.
GC 27001	R	The treasurer may destroy certificates of the auditor after 5 years.
GC 34090	R	With the approval of the legislative body by resolution and the written consent of the city attorney the head of a city department may destroy any city record, document, instrument, book or paper, under his charge, without making a copy thereof, after 2 years.
GC 34090.6	R	The head of a department of a city, county, or city and county, public safety communications center, or the head of a special district, after 1 year, may destroy recordings of routine video monitoring, and after 100 days may destroy recordings of telephone and radio communications maintained by the department or the special district. This destruction shall be approved by the legislative body and the written consent of the agency attorney shall be obtained. In the event that the recordings are evidence in any claim filed or any pending litigation, they shall be preserved until pending litigation is resolved.
GC 34090.7	R	Duplicates of city or county records less than 2 years old may be destroyed if they are no longer required.
GC 54953.5	R	Any tape or film record of an open and public meeting made for whatever purpose by or at the direction of the local agency may be erased or destroyed 30 days after the taping or recording.
GC 65583.1	I	Substantially rehabilitated housing with committed assistance from the city or county may have long-term affordability covenants and restrictions that require the unit to be available to, and occupied by, persons or families of low or very low income at affordable housing costs for at least 20 years.
GC 68152	I	<p>Trial court clerks may destroy court records when the following times have expired after final disposition of the case.</p> <ul style="list-style-type: none"> ▪ Retain capital felony case files permanently. ▪ Retain felony case files for 75 years. ▪ Retain civil action files and small claims case files for 10 years. ▪ Retain search warrants for 10 years except if issued in connection with a capital felony, then retain permanently. ▪ Retain misdemeanor case files for 5 years. ▪ Retain infraction case files for 3 years. ▪ Retain parking infraction case files for 2 years. ▪ Retain juvenile criminal case files related to homicide or sex offenses until the subject reaches the age of 38. ▪ Retain case files concerning juveniles who have suffered, have a sibling who has suffered, or where there is substantial risk of suffering, physical, sexual, or emotional harm by parents or guardians until the subject reaches the age of 28. ▪ Retain case files concerning juveniles who have committed acts of truancy until the subject reaches the age of 21.
GC 81009	I	Retain original campaign statements of mayors, city council members, county supervisors, candidates for any of these offices, and committees supporting any officeholder or candidate indefinitely.
HNC 1180.3	R	Retain incident investigation materials regarding licensed pilots for 10 years after the investigation is complete.
HSC 19850	R	The building department of every city or county shall maintain an official copy of the plans of every building, during the life of the building, for which the department issued a building permit.
HSC 25200.3	R	A generator of hazardous waste must maintain onsite for 5 years adequate records to demonstrate compliance with all applicable pretreatment standards and with all applicable industrial waste discharge requirements issued by the agency operating the publicly owned treatment works into which the wastes are discharged.
HSC 42705	R	Any stationary source of air pollution must retain monitoring records for 2 years.

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Legal Research Concerning Records of the City of Santa Barbara, California

Citation	Type	Content
HSC 44019	R	Retain certificates of vehicular air pollution compliance for 3 years.
IC 10508.5	R	Retain life insurance, life and disability insurance, and disability insurance materials for 5 years.
LC 1174	R	Employers must retain payroll records showing the hours worked daily by and the wages paid to, and the number of piece-rate units earned by and any applicable piece rate paid to, employees for 2 years.
LC 5500.5	I	Workers Compensation liability for occupational disease or cumulative injury claims extends 1 year after the claim is filed.
LC 6429	R	Retain occupational safety and health investigation and inspection materials and citations for 7 years.
PC 832.5	R	Retain complaints and reports or findings relating to complaints about peace officers for 5 years.
PC 6126.3	R	The Inspector General must retain any papers or memoranda used to support a completed audit or investigation for 3 years after a report is released.
PC 11106	R	The Attorney General shall keep reports of stolen, lost, found, pledged, or pawned property in any city or county; the Attorney General shall permanently keep all information reported to the Department of Justice as to pistols, revolvers, or other firearms capable of being concealed.
SHC 128	I	Retain final construction plans and right-of-way record maps for all completed state highway projects located within the district.
VC 1808	I	Abstracts of convictions and accident reports may be disclosed within 7 years of 2 point violations and within 3 years for accidents and all other violations.
CA CDBG Manual, Chapter 7	R	Retain California Community Development Block Grant Program records for a minimum of 3 years after expiration of the contract and any amendments and upon completion and resolution of an audit and/or any litigation, whichever is later.
CA PUC Res. #A-4691	R	Public Utilities Commission Regulations to Govern the Preservation of Records of Water Utilities, Classes A, B, and C. <ul style="list-style-type: none"> ▪ Accounting assignments, attachments, and garnishments may be discarded at the discretion of the facility. ▪ Accounts receivable and supporting records must be retained for 7 years. ▪ Customer service records must be retained for 5 years. ▪ Equipment repair records must be retained for the life of the equipment. ▪ Maintenance work and job orders must be retained for 6 years. ▪ Water treatment records must be retained for 10 years.
CCR §1175	R	Holders are required to retain all records pertaining to unclaimed property for a period of 7 years after such property is reported to the State Controller.
CCR §14307	R	Retain records of occupational injury or illness for 5 years following the end of the year to which they relate.
CCR §19141.6	I	Taxpayer's income or franchise tax liability to this state may be subject to adjustment, including all periods in which additional income or franchise taxes may be assessed, but not to exceed 8 years from the due date or extended due date of the return.
NARUC 23.3a	R	Retain operator's daily logs and reports of operation in the transmission and distribution of water for 6 years.
SBCC 10-2.4	R	Retain building permit records and all other pertinent transactions of the building division permanently.
SBCC 17-13	R	Retain operating records of solid waste and utilities for 4 years following the termination of any franchise, contract, or permit.
SBMC 4.08.150	R	Retain transient occupancy tax records for 3 years.

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Legal Research Concerning Records of the City of Santa Barbara, California

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SBMC 4.24.150	R	Retain utility services tax records for 3 years.
SBMC 4.36.180	R	Retain parking and business improvement area tax records for 3 years.
SBMC 4.52.060	R	Retain written quotations for contracts under \$25,000.00 and open market orders for 1 year after the submission of quotes or the placing of orders.
SBMC 6.12.030	I	Animal control determines whether a dog is vicious based on whether or not the dog has bitten any person at any other time, the temper or ferocity of the dog at the time of the incident, the reputation of the dog in the community with regard to its temper and ferocity, its propensity to bite persons or animals without provocation, and its general menace to the public.
1997 UFC, 103.3.4	R	The fire prevention bureau must retain a record of each inspection made showing the findings and disposition of each inspection for a minimum of 3 years.

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Vital Records of the City of Santa Barbara, California

Dept./Div.	Title	Original Medium	All or Current	Type of Vital Record	Comments
All Departments/ Divisions	Bid Awards, Contracts, and Agreements	HA	C	E, R & I	Routine procurement records only
All Departments/ Divisions	Complaints	HA	C	R & I	Complaints relating to environmental violations only
All Departments/ Divisions	Time Cards	HA	C	R & I	
Administrative Services: City Clerk	Charter of City of Santa Barbara	HA	C	R & I	
Administrative Services: City Clerk	Grant Deeds	HA	C	R & I	
Administrative Services: City Clerk	Municipal Code	HA	C	R & I	
Administrative Services: Human Resources	Eligibility Files	HA	All	R & I	
Administrative Services: Human Resources	Examination Files	HA	All	R & I	
Administrative Services: Human Resources	Tuberculosis Records	HA	All	E	
Administrative Services: Benefits Office	Benefit Files (active employee)	HA	All	R & I	
Administrative Services: Benefits Office	Benefit Files (retiree)	HA	All	R & I	
Administrative Services: Benefits Office	COBRA Files	HA	All	R & I	
Administrative Services: Information Systems	Computer Inventory File	HA	All	E	
Administrative Services: Information Systems	System Documentation	MA	All	E	Electronic file only
Airport: Airport Operations	Aircraft Incident Reports	HA	All	R & I	
Airport: Airport Operations	Facilities File	HA	C	E	Maps, drawings, and specifications only
Airport: Airport Operations	General Incident Reports	HA	C	R & I	
Airport: Airport Operations	Identification Badge Files	HA	All	E, R & I	
Airport: Airport Operations	Runway Inspection Sheets	HA	All	R & I	
Airport: Capital Support	Airport Design and Construction Project Files	HA	All	E, R & I	Maps, plans, reports, correspondence, photographs, specific plans, and other original construction related materials only
Airport: Capital Support	Drawings (current)	HA	All	E, R & I	
Airport: Capital Support	Plans and Layouts	HA	C	R & I	Working plans and layouts only
Airport: Capital Support	Plans, Maps, and Aerial Photographs (original)	HA	C	E	As-built plans only
City Administrator	Confidential Files	HA	C	R & I	
City Administrator	Human Resources Subject Files	HA	C	R & I	Grievance Files only

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Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Vital Records of the City of Santa Barbara, California

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
City Attorney	Litigation Files (active and inactive)	HA	C	E, R & I	
Community Development: Building Inspector	Building Inspector Enforcement Case Files	HA & MA	C	E	
Community Development: Records	Approved Drawings	HA	C	E, R & I	For existing facilities only
Community Development: Records	Approved Drawings (oversize)	HA	C	E, R & I	For existing facilities only
Community Development: Records	Street Files (Permit/ Enforcement Files)	HA	C	E, R & I	
Community Development: Housing & Redevelopment	Annual Reports to State Controller	HA	C	R & I	
Community Development: Housing & Redevelopment	Development Subject File	HA	C	R & I	
Community Development: Housing & Redevelopment	Redevelopment Agency Administration Formation Files	HA	All	R & I	
Community Development: Housing & Redevelopment	Redevelopment Agency Plan File	HA	C	R & I	
Community Development: Housing & Redevelopment	Redevelopment Agency Project Files	HA	C	R & I	
Community Development: Housing & Redevelopment	Redevelopment Agency Resolutions	HA	C	R & I	
Community Development: Housing & Redevelopment	Structural Calculations	HA	C	R & I	For existing buildings only
Community Development: Housing & Redevelopment	Built Affordable Housing Project Files	HA	C	R & I	
Community Development: Housing & Redevelopment	HOME Fund Administrative File	HA	C	R & I	
Community Development: Housing & Redevelopment	Community Development Block Grant Files	HA	C	E, R & I	
Community Development: Housing & Redevelopment	Community Development Block Grant Project Files (active)	HA	C	E, R & I	
Community Development: Planning	Aerial Photographs	HA	C	E, R & I	
Community Development: Planning	City Maps	HA	C	E, R & I	
Community Development: Planning	General Plan Documents	HA	C	E, R & I	
Community Development: Planning	Planning Commission Minutes	HA	C	E, R & I	
Community Development: Planning	Special Project Files	HA	C	E, R & I	
Community Development: Planning	Design Review Case Files	HA	C	E, R & I	
Community Development: Planning	Environmental Impact Reports	HA	C	E, R & I	
Community Development: Planning	Architectural Board of Review Minutes	HA	C	E, R & I	
Community Development: Planning	City Landmark Files	HA	C	E, R & I	

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Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Vital Records of the City of Santa Barbara, California

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
Community Development: Planning	Cultural Resources Files	HA	C	R & I	
Community Development: Planning	Historical Landmarks Commission Minutes	HA	C	E, R & I	
Community Development: Planning	Sign Committee Minutes	HA	C	E, R & I	
Community Development: Planning	Modification Hearing Minutes	HA	C	E, R & I	
Community Development: Planning	Zoning Enforcement Case Files	HA	C	R & I	
Finance: Accounting	Accounting Reports	HA	C	R & I	
Finance: Accounting	Accounts Payable	HA	C	R & I	
Finance: Accounting	Adopted Budget Reports	HA	C	R & I	
Finance: Accounting	Bank Reconciliations	HA	C	R & I	
Finance: Accounting	Community Development Block Grant (CDBG) Files	HA	C	R & I	
Finance: Accounting	Financial System Revenue Reports	HA	C+1	R & I	
Finance: Accounting	Fixed Asset Files	HA	All	R & I	
Finance: Accounting	General Ledger Journal Vouchers	HA	All	R & I	
Finance: Accounting	Time Cards	HA	C	R & I	
Finance: Accounting	Trial Balance Reports	HA	C+1	R & I	
Finance: Accounting	Utility Billing and Accounts Receivable	HA	C	R & I	
Finance: Accounting	Year-End Reports	HA	C	R & I	
Finance: Administration	Bond Issue Binders	HA	All	R & I	
Finance: Administration	Bond Statements	HA	All	R & I	
Finance: Administration	City Budgets	HA	C	R & I	
Finance: Administration	Grants and Propositions	HA	C	R & I	Active grant materials only
Finance: Administration	Tax Rate Volumes	HA	C	R & I	
Finance: General Services	Bids	HA	C	R & I	
Finance: General Services	Bids (opened)	HA	C	R & I	
Finance: General Services	Cash Purchase Orders	HA	C	R & I	
Finance: General Services	Proof of Insurance Files	HA	All	R & I	
Finance: General Services	Purchase Orders	HA	C	R & I	
Finance: General Services	Quick Quotes	HA	C	R & I	
Finance: General Services	Requests for Proposals for Upcoming Bids	HA	All	R & I	
Finance: Risk Management	"Accel" Files	HA	All	R & I	

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Vital Records of the City of Santa Barbara, California

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
Finance: Risk Management	California Occupational Safety and Health Administration ("Cal OSHA") Compliance Program Records	HA	All	E, R & I	
Finance: Risk Management	Incident Files	HA	C	R & I	
Finance: Risk Management	Insurance Policies	HA	C	R & I	
Finance: Risk Management	Insurance Program Files	HA	C	R & I	Inventory of City's fine art only
Finance: Risk Management	Liability Claim Schedules	HA	C	R & I	
Finance: Risk Management	Liability Files	HA	C	R & I	
Finance: Risk Management	Litigation Files	HA	C	R & I	
Finance: Risk Management	Workers' Compensation Files	HA	C	R & I	
Finance: Treasury	Automatic Payment Service Applications and Agreements	HA	C	R & I	Agreements only
Finance: Treasury	Business License Batch Files	HA	C	R & I	
Finance: Treasury	Cash Receipt Records	HA	C	R & I	
Finance: Treasury	Franchise Agreements	HA	C	R & I	Agreements only
Finance: Treasury	Licenses and Permits Subject File	HA	C	R & I	Permit and private patrol registration files only
Finance: Treasury	Parking and Business Improvement Area Tax Files	HA	C	R & I	
Finance: Treasury	Transient Occupancy Tax Files	HA	C	R & I	
Finance: Treasury	Utility Tax Exemption Renewal Applications	HA	C	R & I	
Fire	Fire Investigation Files	HA	C	R & I	
Fire	Occupancy Files	HA	C	R & I	
Fire	Personnel Medical Records	HA	All	R & I	
Library	Gifts Files	HA	All	R & I	
Library	Inter-Library Loan Borrowed Item Files	HA	C	R & I	
Library	Inter-Library Loan Files	HA	Pre-audit	R & I	
Library	Library Board of Trustees Meeting Minutes	HA	C	R & I	
Parks and Recreation: Business Office	Contract Files	HA	C	R & I	Memoranda of understanding only
Parks and Recreation: Business Office	PARC Foundation Files	HA	All	R & I	Corporate documents only
Parks and Recreation: Park Design and Planning	Blueprints	HA	C	E, R & I	As-built plans for existing park facilities only
Parks and Recreation: Park Design and Planning	Plans/Drawings	HA	C	R & I	Plans for existing park facilities only

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Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Vital Records of the City of Santa Barbara, California

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
Parks and Recreation: Park Design and Planning	Project Files	HA	C	R & I	Active maps, plans, reports, correspondence, photographs, specific plans, and other original construction related materials only
Parks and Recreation: Parks	Andree Bird Refuge File	HA	C	R & I	
Parks and Recreation: Parks	Chase Palm Park File	HA	C	R & I	
Parks and Recreation: Parks	Creeks File	HA	C	R & I	
Parks and Recreation: Parks	Douglas Family Preserve File	HA	C	R & I	Current maps, contract negotiation notes, and correspondence only
Parks and Recreation: Adult Sports	Vehicle Files	HA	C	R & I	Driver contract and insurance information only
Parks and Recreation: Facilities & Program Registration	Facilities Permits (active and closed)	HA	C	R & I	Current files only
Parks and Recreation: Youth Activities	Administrative Files ("Clerical Files")	HA	C	R & I	Co-sponsorship Files only
Police	Internal Affairs Files	HA	C	R & I	
Police: Animal Control	Animal Bite Reports and Quarantine Notices	HA	C	R & I	
Police: Animal Control	Dog Licenses	HA	C	R & I	
Police: Animal Control	Kennel Cards	HA	C	R & I	
Police: Animal Control	Special Cases	HA	C	R & I	
Police: Combined Communications	Logger Tapes	MA	C	R & I	
Police: Parking Enforcement, Property, Crime Analysis, School Crossing Guards	Alarm Ordinance Files	HA	C	R & I	
Police: Parking Enforcement, Property, Crime Analysis, School Crossing Guards	Drug Burn Files	HA	C	R & I	
Police: Parking Enforcement, Property, Crime Analysis, School Crossing Guards	Evidence/Property for Active Cases	HA	C	R & I	
Police: Parking Enforcement, Property, Crime Analysis, School Crossing Guards	Homicide Evidence Records ("187 Files")	HA	C	R & I	Active files only
Police: Parking Enforcement, Property, Crime Analysis, School Crossing Guards	Special Search Warrants	HA	C	R & I	
Police: Training, Recruitment, Backgrounds/ Range Community Services/Crime Prevention	Qualifying Records	HA	C	R & I	
Police: Business Office	Personnel Background Files	HA	All	R & I	
Police: Business Office	Personnel Background Files (unsuccessful)	HA	C	R & I	

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Vital Records of the City of Santa Barbara, California

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
Police: Business Office	Personnel and Background Files	HA	All	R & I	
Police: Business Office	Personnel Files (current)	HA	All	R & I	
Police: Investigative Division	Case Files	HA	C	R & I	Active files only
Police: Investigative Division	Case Files (Major)	HA	C	R & I	Active files only
Police: Operations	Reserve Personnel Files	HA	C	R & I	
Police: Operations	Special Weapons and Tactics (SWAT) Files	HA	C	R & I	
Police: Operations	SWAT Incident Reports	HA	C	R & I	Active reports only
Public Works: Engineering	Engineering Project Administrative Files	HA	C	R & I	Project management files only
Public Works: Engineering	Engineering-Capital Project Files	HA	C	R & I	
Public Works: Engineering	Official Street Map of Santa Barbara, California	HA	C	E, R & I	
Public Works: Engineering	Photographs	HA	C	R & I	Aerial photographs of Santa Barbara that show the City's development only
Public Works: Engineering	Plans and Maps	HA	C	E, R & I	
Public Works: Engineering	Storm Drain, Water, and Sewer Atlases	HA	C	E, R & I	
Public Works: Engineering	Water-Valve-Book	HA	C	E, R & I	
Public Works: Engineering	Drainage-Facilities Mapping Project	MA	AH	R & I	Electronic file only
Public Works: Engineering	Mapping Project Files	HA	C	R & I	
Public Works: Engineering	Bid Specifications	HA	C	R & I	
Public Works: Engineering	Construction Plans	HA	C	E, R & I	
Public Works: Engineering	Bridge Inspection Reports and Correspondence	HA	C	R & I	
Public Works: Engineering	Environmental Programs Project Files	HA	C	R & I	
Public Works: Engineering	Land Development Files	HA	C	E, R & I	
Public Works: Engineering	Real Property Files	HA	C	E, R & I	
Public Works: Engineering	City Monument Books	HA	C	R & I	
Public Works: Engineering	Computation Books	HA	C	R & I	
Public Works: Engineering	Survey Engineering Maps and Plans (oversize)	HA	C	R & I	Maps and plans only
Public Works: Engineering	Survey Field Books	HA	All	R & I	
Public Works: Engineering	Survey Files	HA	C	R & I	
Public Works: Engineering	Survey Network Documentation	HA	C	R & I	
Public Works: Engineering	Topographic Maps	MA	AH	E	Electronic file only
Public Works: Engineering	Waterfront Design Files	HA	C	R & I	
Public Works: Engineering	Water Resources Design Files	HA	C	R & I	Plans only

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Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Vital Records of the City of Santa Barbara, California

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
Public Works: Engineering	Assessment District Maps	HA	All	R & I	
Public Works: Facilities Maintenance	Building Maintenance Project Files	HA	C	R & I	
Public Works: Facilities Maintenance	Street Light Petition Files	HA	C	R & I	
Public Works: Facilities Maintenance	Biennial Inspection of Terminals	HA	C	R & I	
Public Works: Facilities Maintenance	Smog Records	HA	C	R & I	
Public Works: Facilities Maintenance	Vehicle Records	HA	C	R & I	
Public Works: Streets, Parking, and Transportation Operations	Sidewalk Repair Files	HA	C	R & I	
Public Works: Streets, Parking, and Transportation Operations	Storm Drain File	HA	C	E, R & I	
Public Works: Streets, Parking, and Transportation Operations	Street Files	HA	C	E, R & I	
Public Works: Streets, Parking, and Transportation Operations	Street Work Reports	HA	C	E, R & I	
Public Works: Streets, Parking, and Transportation Operations	Location Files	HA	C	E, R & I	
Public Works: Streets, Parking, and Transportation Operations	Speed Surveys Subject Files	HA	C	R & I	
Public Works: Water Resources	Backflow Device Files	HA	C	R & I	
Public Works: Water Resources	Completed Work Order and As-Built Files	HA	C	R & I	
Public Works: Water Resources	Fire Hydrant and Waste Water Meter Files	HA	C	R & I	
Public Works: Water Resources	Gibraltar Dam Subject File	HA	C	R & I	
Public Works: Water Resources	Street Files	HA	C	R & I	
Public Works: Water Resources	Vehicle Inspection Sheets	HA	C	R & I	
Public Works: Water Resources	Waste Water Incident Reports	HA	C+1	R & I	
Public Works: Water Resources	Water Incident Reports	HA	C	R & I	
Public Works: Water Resources	Annual Water Quality Report	HA	C	R & I	
Public Works: Water Resources	Laboratory Equipment Maintenance Files	HA	C	R & I	
Public Works: Water Resources	Raw Data Files	HA	C	R & I	
Public Works: Water Resources	Waste Water Metal Files	HA	C	R & I	
Public Works: Water Resources	Air Pollution Control District/Environmental Protection Agency/Tri-Counties Files	HA	C	R & I	

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Vital Records of the City of Santa Barbara, California

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
Public Works: Water Resources	Discharge Self-Monitoring Reports	HA	C+1	R & I	
Public Works: Water Resources	Water Reclamation Plant Reports	HA	C+1	R & I	
Public Works: Water Resources	Daily Logs of Water Treatment Facility	HA	C mo.+1	R & I	
Public Works: Water Resources	Drawings and Specifications for Water Treatment Facilities	HA	C	R & I	
Public Works: Water Resources	Maintenance Files	HA	C	E, R & I	
Public Works: Water Resources	Specification Sheets	HA	C	E	For existing facilities only
Waterfront: Business Office	Business Tenant Files	HA	C	R & I	
Waterfront: Business Office	Engineering Project Files ("Facility Location Files")	HA	C	R & I	
Waterfront: Business Office	Slip Files	HA	C	R & I	
Waterfront: Facilities Management	Stearns Wharf Administrative Subject Files	HA	C	R & I	Pile driving contracts only
Waterfront: Facilities Management	Stearns Wharf Plans	HA	C	R & I	

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CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012

TO: Mayor and Councilmembers

FROM: Engineering Division, Public Works Department

SUBJECT: Resolution For Licenses For Water Service Meters And Introduction Of Ordinance For Easements On Tunnel Reservoir Property

RECOMMENDATION: That Council:

- A. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Approving and Accepting the Private Water Main Construction and Water Meter License Agreement for the Placement, Maintenance, and Reading of Public Water Service Meters, and for All Related Purposes, on Portions of Certain Real Properties Commonly Known as 2825, 2845, 2875, 2885, and 2895 Spyglass Ridge Road, and Authorizing the Public Works Director to Execute Said Agreement with William Pasich, George V. Valois and Sherry R. Valois, Trustees, Carolyn V. Cooper, Trustee, Frederica McKay Thompson, Trustee, and Joel J. Berti and Georgia E. Berti, Trustees, Relating to the Placement of a Private Water System Within Spyglass Ridge Road Located in the County of Santa Barbara; and
- B. Introduce, and subsequently adopt, by reading of title only, An Ordinance of the Council of the City of Santa Barbara Approving and Authorizing the Public Works Director to Execute a Certain Private Road Easement Agreement with William Pasich, George V. Valois and Sherry R. Valois, Trustees, Carolyn V. Cooper, Trustee, Frederica McKay Thompson, Trustee, and Joel J. Berti and Georgia E. Berti, Trustees, Granting and Acknowledging Private Easements for the Continuing Use and Maintenance of Spyglass Ridge Road, Including Public Utilities, Located on a Portion of the Tunnel Trail Property, Sometimes Known as Tunnel Reservoir Property, Owned by the City of Santa Barbara, For Ingress and Egress to Properties Located in the County of Santa Barbara Known as 2825, 2845, 2875, 2885 and 2895 Spyglass Ridge Road.

DISCUSSION:

The owners of the homes located at 2825 (APN 153-270-025), 2845 (APN 153-270-024), 2875 (APN 153-270-023,2885), 2885 (APN 153-270-022), and 2895 (APN 023-310-012) Spyglass Ridge Road, desire to construct a new private water main system that is connected to the City's water main at the end of Tunnel Road. The residential

lots along Spyglass Ridge Road are in the County of Santa Barbara and located within the City's water service area. The proposed new private water main would cross a portion of the City Tunnel Reservoir Property (See Attachments 1 and 2).

Private Water Main Construction and Water Meter License Agreement

The residents are currently served by a private well, reservoir, and water distribution system that was constructed when their lots were first developed. In May 2009, unlike many other homes in the area, these homes along Spyglass Ridge Road survived the Jesusita Fire, in large part because of the existence of a private water system. However, the supply of water in their private reservoir was depleted almost entirely. Therefore, the owners desire to augment their existing private reservoir and distribution system with a more reliable private water system connected to the City's water main in Tunnel Road. The new system will provide all domestic and irrigation water service, as well as new fire hydrants. The existing system will remain in place as a secondary source to be used only for emergency fire protection. The existing system will be disconnected and kept separate from the new private water main system, in accordance with regulations governing the City's potable water system. The new private water system and fire hydrants will increase the ability to respond to future fire emergencies in the area of Spyglass Ridge Road.

The owners submitted civil design plans for City review of their private water system, which have been tentatively approved by City staff. If Council approves the Construction and License Agreement and Easement, the civil plans will be approved and all necessary City and County permits will be obtained by the owners to enable their water system to be constructed.

Since the new water main will be located on private property, City standards dictate that the water main will be privately owned and maintained from the point of connection in Tunnel Road. The one exception would be the City-owned meters that would be connected to the private main. These would be City owned and maintained. In order to ensure future access for City personnel to install, read, repair, maintain, replace, and remove the City water service meters as needed, the proposed Private Water Main Construction and Water Meter License Agreement grants licenses to the City for such purposes. The proposed Resolution will demonstrate acceptance by the City of the proffered licenses and provide for the recordation of the pertinent agreement in the Official Records of Santa Barbara County.

Private Road Easement Agreement

In order for the owners to construct the private water system that will extend from the City's water main at the end of Tunnel Road, it is necessary for the water pipeline to cross a portion of the City's property known as the "Tunnel Trail property", or "Tunnel Reservoir Property" in the same location where the existing private road crosses the Tunnel Reservoir property ("Spyglass Ridge Road"). Spyglass Ridge Road has long provided vehicle, pedestrian, and utility ingress and egress to certain homes in the area.

Council Agenda Report

Resolution For Licenses For Water Service Meters And Introduction Of Ordinance For Easements On Tunnel Reservoir Property

February 14, 2012

Page 3

The portion of Spyglass Ridge Road located on the Tunnel Reservoir Property is depicted on Attachment 3.

In the past, the City has granted various easements for private road access across the Tunnel Reservoir Property for access to homes along Spyglass Ridge Road. Such private road easements were recorded in 1965, 1979, and 1983. However, the easements were not sufficiently described to allow clear identification. In consideration of the benefits anticipated by the construction of the new private water system, staff recommends granting a non-exclusive easement to the property owners. The new private road easement will also acknowledge the owners' joint use and maintenance of the existing road, their construction of the private water main, and the other existing public utilities along Spyglass Ridge Road. In accordance with the City Charter, the easement must be approved by the Ordinance recommended herein.

The property owners have accepted all liability and will indemnify and hold the City harmless for any claims relating to the installation and maintenance of the water system and the easement. All work, materials, and equipment, shall be provided at no expense to the City, and all permit fees have been paid by the owners. Once installed and accepted by the City, the City will take title to and maintain the new water meters.

The Private Water Main Construction and Water Meter License Agreement and the Private Road Easement Agreement are available for review by the City Council in the Council reading file and by the public in the City Clerk's Office.

ATTACHMENT(S): 1. Vicinity Map for Proposed Private Water Main System
2. Spyglass Ridge Road Proposed Private Water Main System
3. City Tunnel Reservoir Property

PREPARED BY: Pat Kelly, Assistant Public Works Director, City Engineer/DT/mj

SUBMITTED BY: Christine F. Andersen, Public Works Director

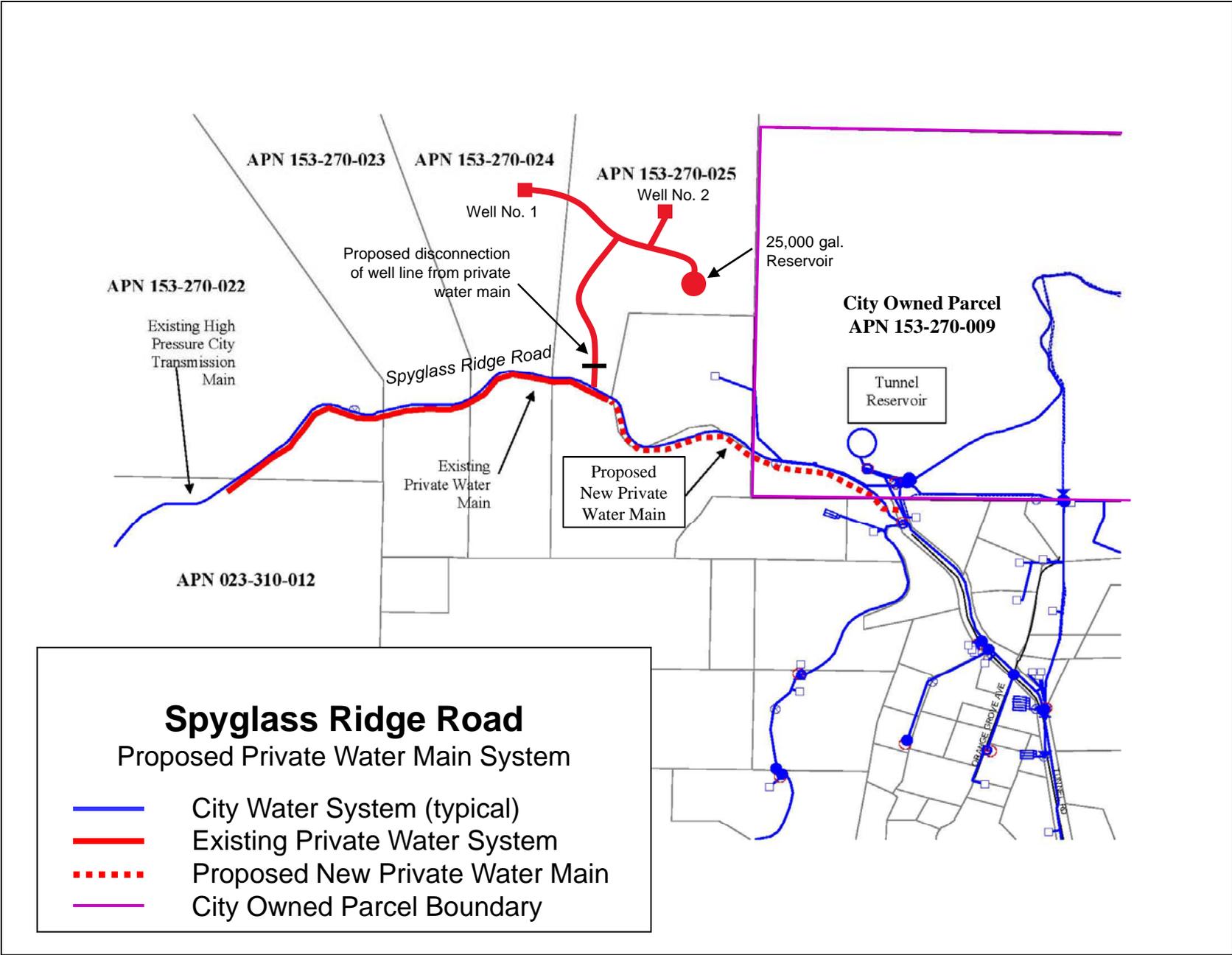
APPROVED BY: City Administrator's Office

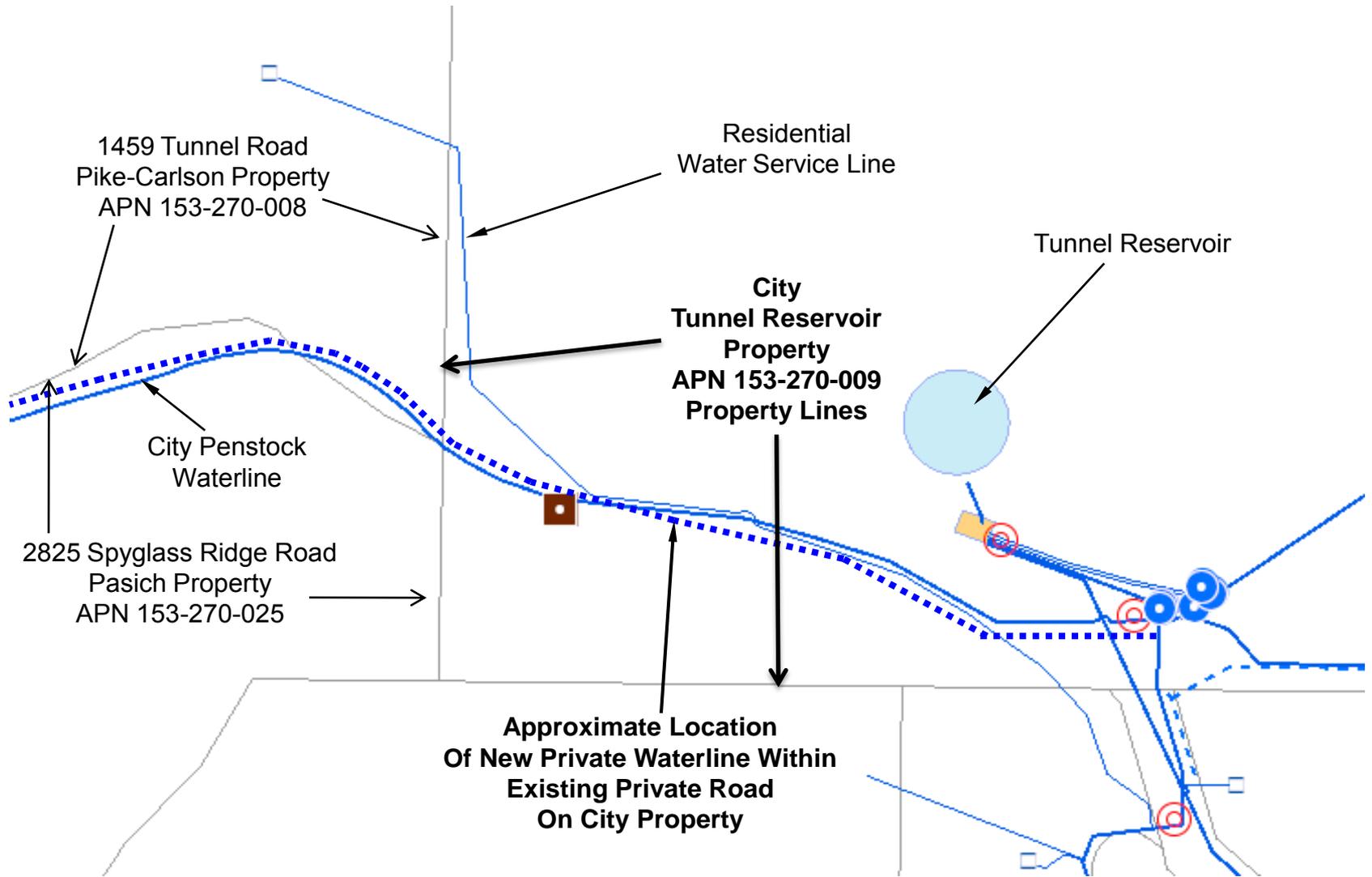
Aerial Vicinity Map for Proposed Private Water Main System

Attachment 1



 Proposed New Waterline





City Tunnel Reservoir Property
Proposed New Private Waterline

RESOLUTION OF ACCEPTANCE NO. _____
California Government Code Section 27281

A RESOLUTION OF THE COUNCIL OF THE CITY OF SANTA BARBARA APPROVING AND ACCEPTING THE PRIVATE WATER MAIN CONSTRUCTION AND WATER METER LICENSE AGREEMENT FOR THE PLACEMENT, MAINTENANCE, AND READING OF PUBLIC WATER SERVICE METERS, AND FOR ALL RELATED PURPOSES, ON PORTIONS OF CERTAIN REAL PROPERTIES COMMONLY KNOWN AS 2825, 2845, 2875, 2885, AND 2895 SPYGLASS RIDGE ROAD, AND AUTHORIZING THE PUBLIC WORKS DIRECTOR TO EXECUTE SAID AGREEMENT WITH WILLIAM PASICH, GEORGE V. VALOIS AND SHERRY R. VALOIS, TRUSTEES, CAROLYN V. COOPER, TRUSTEE, FREDERICA McKAY THOMPSON, TRUSTEE, AND JOEL J. BERTI AND GEORGIA E. BERTI, TRUSTEES, RELATING TO THE PLACEMENT OF A PRIVATE WATER SYSTEM WITHIN SPYGLASS RIDGE ROAD LOCATED IN THE COUNTY OF SANTA BARBARA

NOW, THEREFORE, BE IT RESOLVED BY THE COUNCIL OF THE CITY OF SANTA BARBARA AS FOLLOWS:

SECTION 1. In accordance with California Government Code Section 27281, the City of Santa Barbara hereby accepts those certain licenses for public water service meters and all related purposes described in the Private Water Main Construction and Water Meter License Agreement, dated October 19, 2011, by and between the City of Santa Barbara, a municipal corporation, and William Pasich, a married man as his sole and separate property, George V. Valois and Sherry R. Valois, Trustees U/D/T dated March 7, 1991, F/B/O the Valois Family Trust, Carolyn V. Cooper, Trustee of the Carolyn Cooper-Griffith Living Trust dated October 6, 1989, Frederica McKay Thompson, Trustee of the Frederica McKay Thompson Living Trust, dated July 7, 2003, for the benefit of Frederica McKay Thompson, and Joel J. Berti and Georgia E. Berti, Trustees of The J & G Berti Family Trust, the owners, respectively, of the real properties commonly known as 2825, 2845, 2875, 2885 and 2895 Spyglass Ridge Road, and referred to, respectively, as Santa Barbara County Assessor's APN 153-250-025, APN 153-250-024, APN 153-250-023, APN 153-250-022 and APN 023-310-012.

SECTION 2. The City of Santa Barbara hereby approves, and the Public Works Director is hereby authorized to execute the Private Water Main Construction and Water Meter License Agreement, by and between the City of Santa Barbara and William Pasich, George V. Valois and Sherry R. Valois, Trustees, Carolyn V. Cooper, Trustee, Frederica McKay Thompson, Trustee, and Joel J. Berti and Georgia E. Berti, Trustees.

SECTION 3. The City of Santa Barbara hereby consents to the recordation by the City Clerk, or by designated City staff, of the Private Water Main Construction and Water Meter License Agreement in the Official Records of the County of Santa Barbara, State of California.

By _____
Deputy City Clerk

ORDINANCE NO. _____

AN ORDINANCE OF THE COUNCIL OF THE CITY OF SANTA BARBARA APPROVING AND AUTHORIZING THE PUBLIC WORKS DIRECTOR TO EXECUTE A CERTAIN PRIVATE ROAD EASEMENT AGREEMENT WITH WILLIAM PASICH, GEORGE V. VALOIS AND SHERRY R. VALOIS, TRUSTEES, CAROLYN V. COOPER, TRUSTEE, FREDERICA McKAY THOMPSON, TRUSTEE, AND JOEL J. BERTI AND GEORGIA E. BERTI, TRUSTEES, GRANTING AND ACKNOWLEDGING PRIVATE EASEMENTS FOR THE CONTINUING USE AND MAINTENANCE OF SPYGLASS RIDGE ROAD, INCLUDING PUBLIC UTILITIES, LOCATED ON A PORTION OF THE TUNNEL TRAIL PROPERTY, SOMETIMES KNOWN AS TUNNEL RESERVOIR PROPERTY, OWNED BY THE CITY OF SANTA BARBARA, FOR INGRESS AND EGRESS TO PROPERTIES LOCATED IN THE COUNTY OF SANTA BARBARA KNOWN AS 2825, 2845, 2875, 2885, AND 2895 SPYGLASS RIDGE ROAD

WHEREAS, the City of Santa Barbara owns certain real property in the County of Santa Barbara, State of California, sometimes commonly known as "Tunnel Trail property," a portion of which is also referred to as "Tunnel Reservoir Property;"

WHEREAS, William Pasich owns certain real property in the County of Santa Barbara commonly known as 2825 Spyglass Ridge Road;

WHEREAS, George V. Valois and Sherry R. Valois, Trustees U/D/T March 7, 1991, F/BO the Valois Family Trust, own certain real property in the County of Santa Barbara commonly known as 2845 Spyglass Ridge Road;

WHEREAS, Carolyn V. Cooper, Trustee of the Carolyn Cooper-Griffith Living Trust dated October 6, 1989, owns certain real property in the County of Santa Barbara commonly known as 2875 Spyglass Ridge Road;

WHEREAS, Frederica McKay Thompson, Trustee of the Frederica McKay Thompson Living Trust, dated July 7, 2003, owns certain real property in the County of Santa Barbara commonly known as 2885 Spyglass Ridge Road;

WHEREAS, Joel J. Berti and Georgia E. Berti, Trustees of The J & G Berti Family Trust, own certain real property in the County of Santa Barbara commonly known as 2895 Spyglass Ridge Road;

WHEREAS, a portion of the Tunnel Reservoir Property has long been improved with a private road, sometimes known as Spyglass Ridge Road, which has provided vehicle, pedestrian and utility ingress and egress to the above mentioned real properties;

WHEREAS, the City previously granted easements for private road access through the Tunnel Reservoir Property to real properties now along Spyglass Ridge Road, which were recorded in Official Records of Santa Barbara County on August 19, 1965, as Instrument No. 29505, in Book 2117 at Page 959, and on June 13, 1979, as Instrument No. 79-26451, and on February 14, 1983, as Instrument No. 83-7190, respectively, although such private road easements are not described with specificity;

WHEREAS, the above referenced owners intend to construct a private water main project, referred to the Spyglass Ridge Road Private Water Main project, as depicted on City Plan No. C-1-4632;

WHEREAS, City desires to grant easements described with specificity to the above referenced owners to acknowledge their joint use of Spyglass Ridge Road on the Tunnel Reservoir property, and acknowledge placement of the Spyglass Ridge Road Private Water Main project, and acknowledge the existence of public utilities, in concert with existing recorded easements mentioned above;

WHEREAS, Charter Section 520 in pertinent part provides that no land owned by the City, unless the value thereof is less than five thousand dollars (\$5,000.00), shall be sold, transferred or disposed of or encumbered, unless such sale, transfer, disposition or encumbrance be made or approved by ordinance; and

WHEREAS, this Ordinance upon its adoption by Council will provide authorization for the Public Works Director to execute a Private Road Easement Agreement relating to the joint use and maintenance of Spyglass Ridge Road, including public utilities.

NOW, THEREFORE, THE COUNCIL OF THE CITY OF SANTA BARBARA DOES ORDAIN AS FOLLOWS:

SECTION 1. That, following the effective date of this Ordinance, the Private Road Easement Agreement dated October 19, 2011, between the City of Santa Barbara and William Pasich, George V. Valois and Sherry R. Valois, Trustees, Carolyn V. Cooper, Trustee, Frederica McKay Thompson, Trustee, and Joel J. Berti and Georgia E. Berti, Trustees, which grants a non-exclusive easement to allow their joint use and maintenance of Spyglass Ridge Road on the Tunnel Reservoir property, is hereby approved, and the Public Works Director is authorized to execute the agreement.

SECTION 2. That, following the effective date of this Ordinance, the City Clerk is authorized to deliver, or to cause to deliver, the said Private Road Easement Agreement to the County Recorder of Santa Barbara County for recordation in the Official Records of said County.



CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012

TO: Mayor and Councilmembers

FROM: Administration Division, Parks and Recreation Department

SUBJECT: Coastal Resource Enhancement Fund Grant Funds In The Amount Of \$40,000 For The Shoreline Park Safety Improvement Project

RECOMMENDATION: That Council:

- A. Authorize the Parks and Recreation Director to enter into an agreement with the County of Santa Barbara, in a form acceptable to the City Attorney, to receive Coastal Resource Enhancement Fund (CREF) grant funds; and
- B. Increase appropriations and estimated revenues by \$40,000 in the Fiscal Year 2012 Parks and Recreation Capital Program.

DISCUSSION:

The purpose of the Shoreline Park Safety Improvement Project (Project) is to install permanent improvements required as a result of the 2008 landslide and to respond to safety concerns at MacGillivray Point and throughout the park. The Project consists of seven components: 1) sidewalk and fencing replacement around the landslide area; 2) fencing replacement and repair in other areas of the park where fencing is in disrepair; 3) new fencing installation to restrict access at MacGillivray Point; 4) bluff-top re-vegetation at the landslide area; 5) relocation of two park benches from MacGillivray Point to locations adjacent to the new sidewalk at the landslide area; 6) replacement of the original park pole lights; and 7) replacement of coastal interpretive signs.

In June 2010, the County of Santa Barbara Board of Supervisors awarded a \$40,000 CREF grant to the Parks and Recreation Department (Department) for the Project. The Planning Commission approved the Coastal Development Permit for the Project in December 2011. The Department is currently completing the building permit process, and construction is scheduled to begin in late April.

BUDGET/FINANCIAL INFORMATION:

The total project cost for the Shoreline Park Safety Improvement Project is \$237,000, which includes project design, permitting, and construction. Funding for the project includes \$197,000 in appropriated Parks and Recreation Capital Improvement Program funds and the \$40,000 in CREF grant funds.

SUSTAINABILITY IMPACT:

Shoreline Park provides almost one mile of ocean views and public coastal access. Improvements to Shoreline Park will increase public safety and preserve public park resources.

PREPARED BY: Jill E. Zachary, Assistant Parks and Recreation Director

SUBMITTED BY: Nancy L. Rapp, Parks and Recreation Director

APPROVED BY: City Administrator's Office

ORDINANCE NO. _____

AN ORDINANCE OF THE COUNCIL OF THE CITY OF SANTA BARBARA EXTENDING THE TERM OF THE EXISTING MEMORANDUM OF UNDERSTANDING BETWEEN THE CITY OF SANTA BARBARA AND THE HOURLY EMPLOYEES' BARGAINING UNIT TO DECEMBER 31, 2012

THE COUNCIL OF THE CITY OF SANTA BARBARA DOES ORDAIN AS FOLLOWS:

SECTION 1. The term of the Memorandum of Understanding between the City of Santa Barbara and the Service Employees' International Union, Local 620, Hourly Employees' Bargaining Unit, entered into as of November 1, 2008, and adopted under Ordinance No. 5483, is hereby extended to December 31, 2012.

ORDINANCE NO. _____

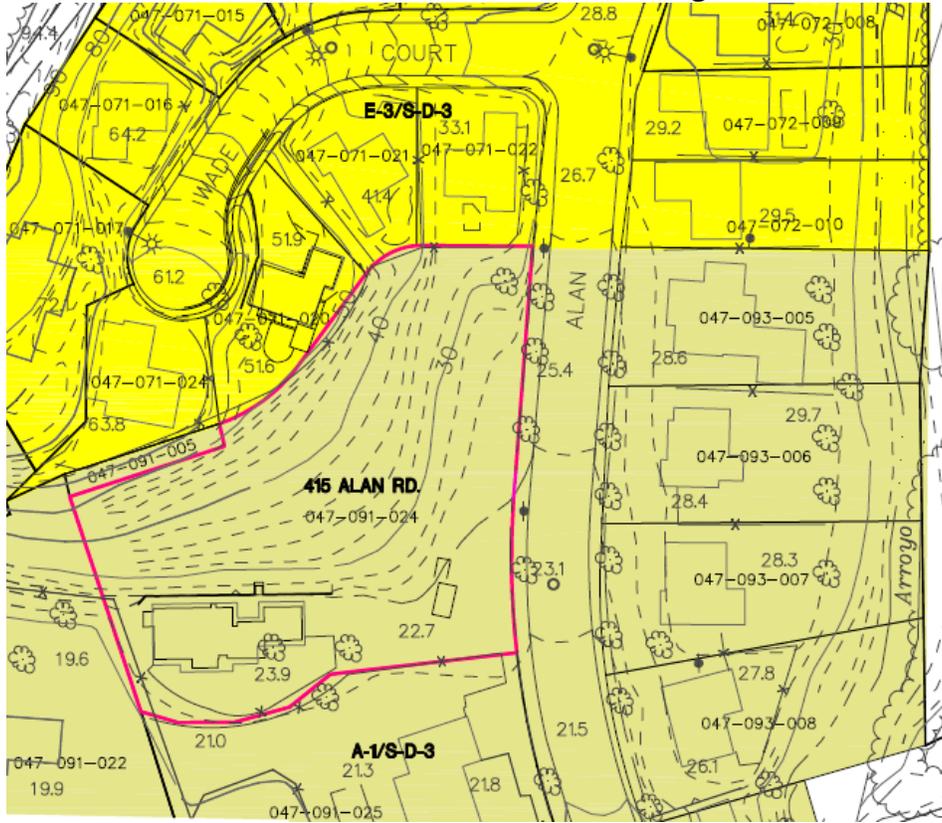
AN ORDINANCE OF THE COUNCIL OF THE CITY OF SANTA BARBARA AMENDING CHAPTER 28.12 (ZONE MAP) OF TITLE 28 OF THE MUNICIPAL CODE PERTAINING TO THE REZONING OF PROPERTY AT 415 ALAN ROAD – PARCEL B

THE COUNCIL OF THE CITY OF SANTA BARBARA DOES ORDAIN AS FOLLOWS:

SECTION 1. Sectional Zone Map SE02 of Chapter 28.12 (Zone Map) of the Santa Barbara Municipal Code is hereby amended by changing the zoning of a portion of the property located at 415 Alan Road (Parcel B) from A-1/SD-3 to E-3/SD-3 as indicated in the attached Exhibit A.

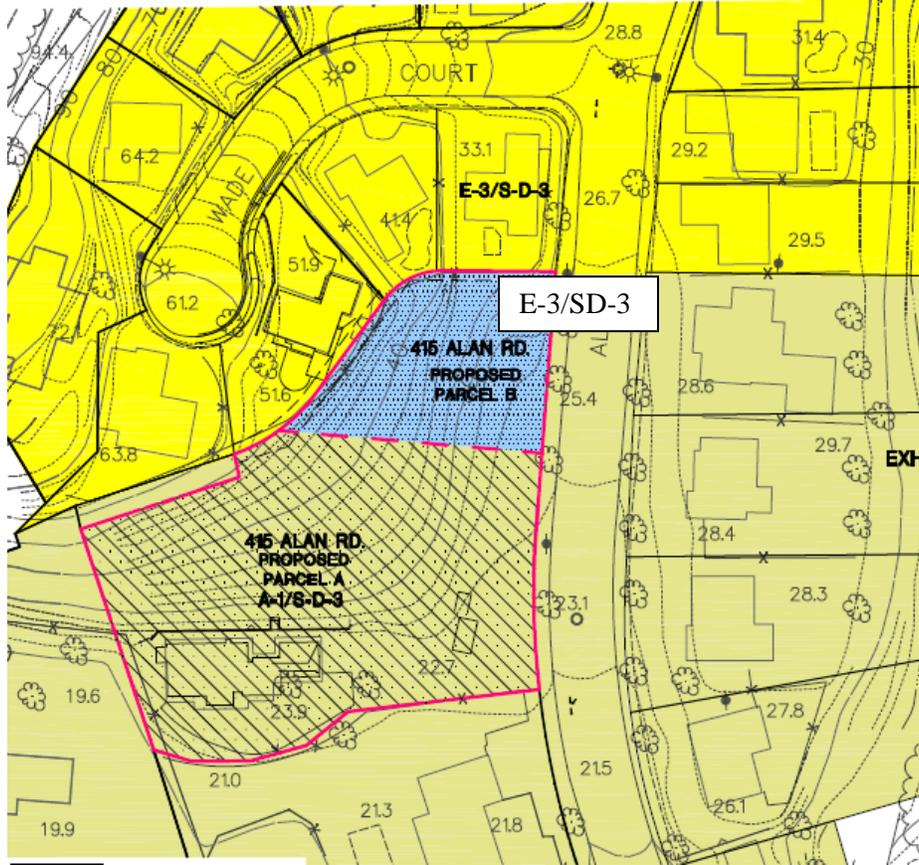
EXHIBIT A

415 Alan Road Current Zoning



415 Alan Road Proposed Zoning Change

EXHIBIT A





CITY OF SANTA BARBARA

SUCCESSOR AGENCY AGENDA REPORT

AGENDA DATE: February 14, 2012

TO: Redevelopment Agency Board

FROM: Accounting Division, Finance Department

SUBJECT: Redevelopment Agency Fiscal Year 2012 Interim Financial Statements For The Six Months Ended December 31, 2011

RECOMMENDATION:

That Council, acting as the Successor Agency to the City of Santa Barbara Redevelopment Agency, accept the Redevelopment Agency Fiscal Year 2012 Interim Financial Statements for the Six Months Ended December 31, 2011.

DISCUSSION:

The interim financial statements for the Six Months Ended December 31, 2011 (50% of the fiscal year) are attached. The interim financial statements include budgetary activity in comparison to actual activity for the Redevelopment Agency's General, Housing, and Capital Projects Funds.

ATTACHMENT: Redevelopment Agency Interim Financial Statements for the Six Months Ended December 31, 2011

PREPARED BY: Ruby Carrillo, Accounting Manager

SUBMITTED BY: Robert Samario, Fiscal Officer

APPROVED BY: City Administrator's Office

REDEVELOPMENT AGENCY
OF THE
CITY OF SANTA BARBARA

INTERIM FINANCIAL STATEMENTS
FISCAL YEAR 2012
FOR THE SIX MONTHS
ENDED DECEMBER 31, 2011

REDEVELOPMENT AGENCY OF THE CITY OF SANTA BARBARA

General Fund

Interim Statement of Revenues, Expenditures and Encumbrances
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	<u>Annual Budget</u>	<u>Year-to-date Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>
Revenues:					
Incremental Property Taxes	\$ 16,203,700	\$ 9,370,263	\$ -	\$ 6,833,437	57.83%
Investment Income	200,000	158,607	-	41,393	79.30%
Overnight Accommodation Mitigation Fee	1,500	770	-	730	0.00%
Rents	72,000	-	-	72,000	0.00%
Total Revenues	<u>16,477,200</u>	<u>9,529,640</u>	<u>-</u>	<u>6,947,560</u>	<u>57.84%</u>
Use of Fund Balance	1,339,020	669,543	-	-	50.00%
Total Sources	<u>\$ 17,816,220</u>	<u>\$ 10,199,182</u>	<u>\$ -</u>	<u>\$ 6,947,560</u>	<u>57.25%</u>
Expenditures:					
Material, Supplies & Services:					
Office Supplies & Expense	\$ 2,000	\$ 1,129	\$ -	\$ 871	56.45%
Mapping, Drafting & Presentation	250	-	-	250	0.00%
Janitorial & Hshld Supplies	100	-	-	100	0.00%
Minor Tools	100	-	-	100	0.00%
Special Supplies & Expenses	4,000	1,559	792	1,649	58.78%
Building Materials	100	-	-	100	0.00%
Equipment Repair	1,000	1,109	-	(109)	110.90%
Professional Services - Contract	787,354	304,135	2,560	480,659	38.95%
Legal Services	162,250	82,245	-	80,005	50.69%
Engineering Services	20,000	3,139	-	16,861	15.70%
Non-Contractual Services	12,000	1,350	-	10,650	11.25%
Meeting & Travel	7,500	360	-	7,140	4.80%
Mileage Reimbursement	300	-	-	300	0.00%
Dues, Memberships, & Licenses	16,000	13,262	-	2,738	82.89%
Publications	1,000	94	-	906	9.40%
Training	7,500	693	-	6,807	9.24%
Advertising	1,000	-	-	1,000	0.00%
Printing and Binding	1,000	102	-	898	10.20%
Postage/Delivery	1,000	809	-	191	80.90%
Duplicating	-	5	-	(5)	100.00%
Vehicle Fuel	1,300	330	-	970	25.38%
Total Supplies & Services	<u>1,025,754</u>	<u>410,321</u>	<u>3,352</u>	<u>612,081</u>	<u>40.33%</u>
Allocated Costs:					
Desktop Maint Replacement	20,435	10,218	-	10,217	50.00%
GIS Allocations	4,754	2,377	-	2,377	50.00%
Building Maintenance	1,650	825	-	825	50.00%
Planned Maintenance Program	3,984	1,992	-	1,992	50.00%
Vehicle Replacement	721	360	-	361	49.93%
Vehicle Maintenance	241	120	-	121	49.79%
Telephone	2,061	1,031	-	1,030	50.02%
Custodial	3,443	1,722	-	1,721	50.01%
Communications	2,878	1,439	-	1,439	50.00%
Property Insurance	5,095	2,547	-	2,548	49.99%
Allocated Facilities Rent	6,313	3,156	-	3,157	49.99%
Overhead Allocation	579,719	289,860	-	289,859	50.00%
Total Allocated Costs	<u>631,294</u>	<u>315,647</u>	<u>-</u>	<u>315,647</u>	<u>50.00%</u>
Special Projects	1,342,744	438,050	8,413	896,281	33.25%
Transfers	13,691,942	4,238,471	-	9,453,471	30.96%
Grants	1,036,986	-	28,011	1,008,975	2.70%
Equipment	6,000	211	-	5,789	3.52%
Fiscal Agent Charges	11,500	3,284	-	8,216	28.56%
Appropriated Reserve	70,000	-	-	70,000	0.00%
Total Expenditures	<u>\$ 17,816,220</u>	<u>\$ 5,405,984</u>	<u>\$ 39,776</u>	<u>\$ 12,370,460</u>	<u>30.57%</u>

REDEVELOPMENT AGENCY OF THE CITY OF SANTA BARBARA
Housing Fund
Interim Statement of Revenues, Expenditures and Encumbrances
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	<u>Annual Budget</u>	<u>Year-to-date Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>
Revenues:					
Incremental Property Taxes	\$ 4,050,900	\$ 2,342,566	\$ -	\$ 1,708,334	57.83%
Investment Income	60,000	61,828	-	(1,828)	103.05%
Interest Loans	200,000	250,612	-	(50,612)	125.31%
Miscellaneous	2,000	-	-	2,000	0.00%
Total Revenues	<u>4,312,900</u>	<u>2,655,006</u>	<u>-</u>	<u>1,657,894</u>	<u>61.56%</u>
Use of Fund Balance	<u>6,691,050</u>	<u>3,345,525</u>	<u>-</u>	<u>-</u>	<u>50.00%</u>
Total Sources	<u>\$ 11,003,950</u>	<u>\$ 6,000,531</u>	<u>\$ -</u>	<u>\$ 1,657,894</u>	<u>54.53%</u>
Expenditures:					
Material, Supplies & Services:					
Office Supplies & Expense	\$ 1,800	\$ 608	\$ -	\$ 1,192	33.78%
Special Supplies & Expenses	1,000	299	-	701	29.90%
Equipment Repair	500	1,109	-	(609)	221.80%
Professional Services - Contract	713,018	302,026	-	410,992	42.36%
Non-Contractual Services	2,000	1,247	-	753	62.35%
Meeting & Travel	1,000	1,745	-	(745)	174.50%
Dues, Memberships, & Licenses	1,500	50	-	1,450	3.33%
Training	2,000	-	-	2,000	0.00%
Printing and Binding	-	102	-	(102)	100.00%
Postage/Delivery	600	719	-	(119)	119.83%
Total Supplies & Services	<u>723,418</u>	<u>307,905</u>	<u>-</u>	<u>415,513</u>	<u>42.56%</u>
Allocated Costs:					
Desktop Maintenance Replacement	6,780	3,390	-	3,390	50.00%
GIS Allocations	3,170	1,585	-	1,585	50.00%
Building Maintenance	1,650	825	-	825	50.00%
Planned Maintenance Program	4,058	2,029	-	2,029	50.00%
Vehicle Replacement	482	241	-	241	50.00%
Vehicle Maintenance	96	48	-	48	50.00%
Telephone	1,030	515	-	515	50.00%
Custodial	3,507	1,754	-	1,753	50.01%
Communications	1,151	576	-	575	50.04%
Allocated Facilities Rent	6,432	3,216	-	3,216	50.00%
Overhead Allocation	111,359	55,680	-	55,679	50.00%
Total Allocated Costs	<u>139,715</u>	<u>69,859</u>	<u>-</u>	<u>69,856</u>	<u>50.00%</u>
Transfers	5,330	2,665	-	2,665	50.00%
Equipment	2,500	-	-	2,500	0.00%
Housing Activity	9,418,922	5,988,896	-	3,430,026	63.58%
Principal	490,000	490,000	-	-	100.00%
Interest	142,765	75,058	-	67,707	52.57%
Fiscal Agent Charges	1,300	1,265	-	35	97.31%
Appropriated Reserve	80,000	-	-	80,000	0.00%
Total Expenditures	<u>\$ 11,003,950</u>	<u>\$ 6,935,648</u>	<u>\$ -</u>	<u>\$ 4,068,302</u>	<u>63.03%</u>

REDEVELOPMENT AGENCY OF THE CITY OF SANTA BARBARA
Capital Projects Fund
Interim Statement of Revenues, Expenditures and Encumbrances
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	<u>Annual Budget</u>	<u>Year-to-date Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>
Revenues:					
Transfers-In	\$ 6,133,868	\$ 3,066,934	\$ -	\$ 3,066,934	50.00%
Total Revenues	6,133,868	3,066,934	-	3,066,934	50.00%
Use of Fund Balance	10,576,325	5,288,276	-	5,288,049	50.00%
Total Sources	\$ 16,710,193	\$ 8,355,210	\$ -	\$ 8,354,983	50.00%
Expenditures:					
Capital Outlay:					
Finished					
Phase II - E Cabrillo Sidewalks	\$ 54,688	\$ 26,156	\$ 3,584	\$ 24,948	54.38%
Panhandling Edu. & Alt. Giving	16,429	10,949	5,480	-	100.00%
Fire Station #1 EOC	1,721	-	-	1,721	0.00%
Fire Station #1 Remodel	7,179	7,147	-	32	99.55%
Soil Remediation - 125 State St	2,380	263	-	2,117	11.05%
Construction Phase					
Chase Palm Park Light/Electric	536,489	62,584	204,551	269,354	49.79%
Plaza Del Mar Restroom Renovation	204,046	14,095	150,000	39,951	80.42%
Pershing Park Restroom Renovation	115,041	10,168	102,229	2,644	97.70%
Chase Palm Park Playground Replcmt	200,000	-	-	200,000	0.00%
DP Structure (9,10) Const. Imprvmt	1,258,440	26,480	901,543	330,417	73.74%
Lower West Downtown Street Lighting	726,512	309,668	315,586	101,258	86.06%
Design Phase					
Parking Lot Capital Improvements	179,890	35,830	100,300	43,760	75.67%
Library Plaza Renovation	68,478	44,523	23,955	-	100.00%
Planning Phase					
PD Locker Room Upgrade	6,989,173	207,674	508,509	6,272,990	10.25%
PD Annex Lease Cost	152,580	139,983	-	12,597	91.74%
925 De La Vina Rental Costs	81,432	81,432	-	-	100.00%
RDA Project Contingency Account	5,821,247	-	-	5,821,247	0.00%
Cabrillo Pav Arts Ctr Assessment St	248,898	13,350	239,030	(3,482)	101.40%
On-Hold Status					
State St Pedestrian Amenities Pilot	45,570	-	2,060	43,510	4.52%
Total Expenditures	\$ 16,710,193	\$ 990,302	\$ 2,556,827	\$ 13,163,064	21.23%

REDEVELOPMENT AGENCY OF THE CITY OF SANTA BARBARA
RDA Bonds - Series 2001A
Interim Statement of Revenues, Expenditures and Encumbrances
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	<u>Annual Budget</u>	<u>Year-to-date Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>
Revenues:					
Investment Income	\$ -	\$ 119	\$ -	\$ (119)	100.00%
Transfers-In	-	703,093	-	(703,093)	100.00%
Total Revenues	-	703,212	-	(703,212)	100.00%
Use of Fund Balance	1,968,801	984,422	-	984,379	50.00%
Total Sources	<u>\$ 1,968,801</u>	<u>\$ 1,687,634</u>	<u>\$ -</u>	<u>\$ 281,167</u>	85.72%
Expenditures:					
Interest	\$ -	\$ 703,093	\$ -	(703,093)	100.00%
Principal	-	-	-	-	
Total Non-Capital Expenditures	-	703,093	-	(703,093)	100.00%
Capital Outlay:					
Finished					
East Cabrillo Blvd Sidewalks	\$ -	\$ 38	\$ -	\$ (38)	100.00%
Brinkerhoff Lighting	4,100	727	-	3,373	17.73%
Planning Phase					
Mission Creek Flood Control @ Depot	1,964,701	-	-	1,964,701	0.00%
Total Expenditures	<u>\$ 1,968,801</u>	<u>\$ 703,858</u>	<u>\$ -</u>	<u>\$ 1,264,943</u>	35.75%

REDEVELOPMENT AGENCY OF THE CITY OF SANTA BARBARA
RDA Bonds - Series 2003A
Interim Statement of Revenues, Expenditures and Encumbrances
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	<u>Annual Budget</u>	<u>Year-to-date Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>
Revenues:					
Investment Income	\$ -	\$ 559	\$ -	\$ (559)	100.00%
Transfers-In	-	447,040	-	(447,040)	100.00%
Total Revenues	-	447,599	-	(447,599)	100.00%
Use of Fund Balance	11,220,976	5,610,608	-	5,610,368	50.00%
Total Sources	\$ 11,220,976	\$ 6,058,207	\$ -	\$ 5,162,769	53.99%
Expenditures:					
Interest	\$ -	\$ 447,040	\$ -	\$ (447,040)	100.00%
Principal	-	-	-	-	
Total Non-Capital Expenditures	-	447,040	-	(447,040)	100.00%
Capital Outlay:					
Finished					
West Beach Pedestrian Improvements	\$ 221,331	\$ 7,463	\$ 128,653	\$ 85,215	61.50%
Westside Center Park Improvement	-	515	-	(515)	100.00%
West Downtown Improvement	288,259	-	-	288,259	0.00%
Carrillo Rec Ctr Restoration	1,562,008	96,179	34,935	1,430,894	8.39%
Construction Phase					
Helena Parking Lot Development	360,892	178,032	183,712	(852)	100.24%
Fire Department Administration	2,787,872	1,613,920	501,690	672,262	75.89%
DP Structure #2, 9, 10 Improvements	22,719	-	14,259	8,460	62.76%
Design Phase					
Plaza De La Guerra Infrastructure	2,158,039	37,637	57,297	2,063,105	4.40%
Chase Palm Park Restroom Renovation	185,687	2,862	-	182,825	1.54%
Library Plaza Renovation	97,244	24,150	63,914	9,180	90.56%
Artist Workspace	524,692	-	-	524,692	0.00%
Planning Phase					
Mission Creek Flood Control @ Depot	535,299	-	-	535,299	0.00%
Mission Creek Flood Control - Park Development	727,086	-	-	727,086	0.00%
Chase Palm Park Wisteria Arbor	835,000	-	-	835,000	0.00%
On-Hold Status					
Visitor Center Condo Purchase	500,000	-	-	500,000	0.00%
Lower State Street Sidewalks	335,000	-	-	335,000	0.00%
Downtown Sidewalks	79,848	120	-	79,728	0.15%
Total Expenditures	\$ 11,220,976	\$ 2,407,918	\$ 984,460	\$ 7,828,598	30.23%



Agenda Item No. _____

File Code No. 110.03

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012

TO: Mayor and Councilmembers

FROM: Administrative Services Department,
City Clerk Services Division
City Attorney's Office

SUBJECT: Special City Election of June 2012 on Veronica Meadows Specific Plan (Road and Bridge Approval Pursuant to Charter Section 520)

RECOMMENDATION: That the City Council find and determine as follows:

- A. That an environmental impact report ("2008 Final EIR") was prepared and certified in compliance with the California Environmental Quality Act in connection with the Veronica Meadows Specific Plan Project. The 2008 Final EIR, as duly certified on June 17, 2008 by the City Council (Resolution No. 08-049) is adequate to address a June 2012 City ballot measure seeking voter approval of the Arroyo Burro Road and Bridge aspects of the Veronica Meadows Specific Plan Project as required by City Charter section 520. In accordance with Section 15164 of the state CEQA Guidelines, an Addendum to the Veronica Meadows Specific Plan Project EIR has been prepared to identify the need for voter approval of the bridge across Arroyo Burro Creek and to assess any possible environmental concerns with such voter review and possible approval. Based on this Addendum, the Council finds that a subsequent EIR is not required because the need for voter approval of the road and bridge is a minor change in the Specific Plan Project and, as such, it does not require revisions to the EIR because no new environmental effects would be involved in merely obtaining voter approval or voter rejection of the use of some City undeveloped parkland project for construction of the road and bridge. Further, the Council finds that there would be no change to the severity of potential environmental effects of the Veronica Meadows Project as a result of this ballot measure. Finally, the Council finds that mitigation measures adopted for the Project are still feasible and appropriate and would be unchanged by voter approval. The findings adopted as part of the City Council's prior certification of the EIR are therefore hereby included as part of this Council action as though those findings were fully set forth herein;

- B. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Calling and Giving Notice of the Holding of a Special Municipal Election to Be Held in the City of Santa Barbara on Tuesday, June 5, 2012, for the Submission of a Proposition Measure to the Voters of the City Pursuant to City Charter Section 520 Concerning the Future Use Of Certain Undeveloped City Parkland Property;
- C. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Requesting the Board of Supervisors of the County of Santa Barbara to Consolidate a Special Municipal Election to Be Held on June 5, 2012, with the Statewide Primary Election to Be Held on that Date Pursuant to Section 10403 of the Elections Code;
- D. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Directing the City Attorney to Prepare an Impartial Analysis of the City Measure to be Placed on the Ballot for the June 5, 2012, Special Municipal Election of the City of Santa Barbara; and
- E. Determine whether the City Council or any individual member(s) of City Council will file an argument regarding the measure and, if so, adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Authorizing the Filing of a Written Argument Regarding a City Measure to be Placed on the Ballot for the June 5, 2012, Special Municipal Election.

EXECUTIVE SUMMARY:

At the City Council meeting of January 24, 2012, the Council asked the staff of the Clerk's office and the City Attorney to prepare the necessary resolutions required to call a special City election for Tuesday, June 5, 2012, and to consolidate the City election with the statewide primary election being conducted by the County of Santa Barbara. The purpose behind calling a special City election is to place a ballot measure before City voters on whether the City Council should grant a construction right-of-way for a City street and bridge to be constructed across Arroyo Burro Creek utilizing a corner of City-owned park open space property adjacent to Las Positas Road in order to provide access for the Veronica Meadows residential subdivision project as required by City Charter §520.

At that same meeting, Council elected to defer the Council's consideration of the adoption of an ordinance of the Council to amend the Municipal Code by amending SBMC Chapter 28.50, the "Veronica Meadows Specific Plan," until after the special City election of June 5, 2012. In doing so, the Council would know whether the voters approve of the City Council allowing the Veronica Meadows Project to construct a road and bridge over City undeveloped parkland property prior to taking action on the ordinance.

The attached four resolutions, if adopted by the City Council, will accomplish what was requested by the Council – the scheduling and conducting of a special City election as part of a consolidated statewide primary election being conducted by the County in June of this year.

You will see that each of the required election resolutions contain an identical section which is known as the “ballot label.” For elections such as this, the state Elections Code limits the wording of the ballot label to no more than 75 words. As a Council resolution, it is for the City Council to determine the appropriate final wording of the ballot label used in these resolutions and, therefore, the labels to actually appear on the ballot; the suggested example provided here with the draft resolutions is one prepared by the City Attorney’s office in an effort to fully comply with the state Elections Code requirements as well as present an objective and balanced, yet properly informative, ballot label to the voters.

PROJECT BACKGROUND:

On June 24, 2008, the City Council adopted Local Coastal Program (LCP) and Zoning Ordinance Amendments for the Veronica Meadows Specific Plan Area (SP-9), located north of the terminus of Alan Road and west of Las Positas Road. On August 5, 2008, as mandated by the state Coastal Act, City Staff submitted the LCP Amendment application to the California Coastal Commission (CCC) for their review and approval or approval with modifications. On August 12, 2010, the CCC approved the City’s application with nine Suggested Modifications.

These CCC Suggested Modifications to the City’s application require that the Council introduce and adopt an ordinance amending the City’s Zoning Ordinance (Chapter 28.50), and adopt a Resolution accepting proposed changes to our LCP text. The only other changes proposed to the Ordinance are staff recommendations to avoid unintended consequences of the CCC’s Suggested Modifications on those portions of the Specific Plan area that are located outside the coastal zone, and to simplify the exhibits to facilitate future implementation of the Ordinance.

On November 22, 2011, the City Council introduced a City zoning ordinance to amend Santa Barbara Municipal Code Chapter 28.50, the “Veronica Meadows Specific Plan.” The item was scheduled for adoption on December 6, 2011; however, on December 6th, the adoption was continued to a future Council agenda so that all seven Council members could be present since the ordinance adoption requires a five vote majority. Since that time, and as a result of staff discussions with the owners of the Veronica Meadows property, staff has recommended that Council defer consideration of the Veronica Meadows Specific Plan ordinance (with the suggested modifications made by the State Coastal Commission) until after the statewide primary June 5, 2012 and the calling of a Special City Election on that date.

Consequently, on January 24, 2012, the Council again deferred adoption of the City ordinance required to amend the City Local Coastal Plan for the Veronica Meadow Specific Plan Project. This deferment potentially allows for the City ballot measure to be decided and, thus, to provide the Council with appropriate voter input on whether the City should ultimately adopt the necessary zoning ordinance amendment and grant the required construction right-of-way for a City street and a bridge to be constructed across Arroyo Burro Creek. This road and bridge utilizes a small corner of the 5.89 acre City-owned undeveloped parkland property adjacent to Las Positas Road, in order to provide access for the Veronica Meadows residential subdivision project and public access to a public bike/pedestrian trail which the subdivision is required to construct.

Veronica Meadows - Project Description:

The project site has a long history of review with the City. The approved project involved the annexation of approximately 50.5 acres of land, located between Campanil Hill and Las Positas Road, from an unincorporated portion of Santa Barbara County to the City, and a residential subdivision. As part of the 2009 annexation, the lots received General Plan, Coastal Plan and zoning designations. Specific Plan 9 (Veronica Meadows Specific Plan) was adopted as the site's zoning designation pending review by the Coastal Commission. Because a portion of the site is located within the coastal zone, the California Coastal Commission (CCC) must certify the City's proposed Coastal Plan and land use designations before they can become effective in the coastal zone.

The following is a summary of the most relevant recent Project history:

- December 1, 2005 – Planning Commission certified the Final EIR and referred the project (23-unit subdivision with access via a bridge from Las Positas Road), to the City Council for a decision due to a deadlock (3-3).
- March 2006 – City Council reviewed the project and directed the applicant to reduce the number of residential units, provide all vehicular access via Alan Road, and provide a pedestrian/bicycle bridge across Arroyo Burro Creek.
- April - September 2006 – A revised version of the project (15 units with all vehicular access from Alan Road, and a pedestrian bridge across Arroyo Burro Creek) was reviewed by the ABR, the Park and Recreation Commissions, the Creeks Advisory Committee and the Planning Commission.
- October 3, 2006 – City Council reviewed the revised project (15 units with all vehicular access from Alan Road, and a pedestrian bridge across Arroyo Burro Creek) and continued the item, with the direction to return with a project design and density similar to the prior 23-unit project (including a bridge for vehicular and pedestrian access from Las Positas, a traffic signal at Las Positas Road/bridge intersection and an affordable housing component of 2 to 4 units).

- December 2006 – City Council certified the EIR, approved a 25-unit project that included a bridge for vehicular and pedestrian access from Las Positas, a traffic signal at Las Positas Road/bridge intersection and 2 affordable housing units) and adopted the Ordinance initiating the annexation and adopting proposed zoning, General Plan Map and Coastal Plan Map amendments. This decision was litigated in Santa Barbara Superior Court.
- January 2008, the SB Superior Court invalidated the City approvals and EIR certification, and directed that the City revise the EIR before reconsidering the proposed project.
- February 2008 – City Council rescinded project approvals in accordance with the court direction received in January 2008.
- March 14, 2008 – Draft Revised EIR released.
- April 17, 2008 – Planning Commission held an environmental hearing on the Draft Revised EIR.
- May 15, 2008 – Planning Commission certified the Final EIR.
- June 2008 – City Council approved the subdivision project (25 residential lots – refer to Project Description above for a complete description) and adopted all associated Resolutions and Ordinances to allow the annexation of the property to the City.
- July 3, 2008 – LAFCO approved annexation.
- July 14, 2009 – Annexation completed.

As mentioned above, in June 2008, the City Council approved a tentative subdivision map and coastal development permit for the following development on the Veronica Meadows project site:

Subdivision of the project site into 25 residential parcels and construction of 25 homes (three of which are located at the terminus of Alan Road (proposed cul-de-sac), three of which are located immediately north of the cul-de-sac homes, and 19 homes in the main development loop.)

Generally, the project includes two-story single-family homes, each with a maximum of 2,500 to 3,800 square feet of living area. A duplex-style unit is proposed to serve as the affordable units, with each unit approximately 1,000 square feet in size. Two of the homes are affordable to middle-income homebuyers at 170% of the Area Median Income.

The residential lots range in size from approximately 5,000 to 9,600 square feet. The remaining lots are comprised of common open space areas and public roads.

The site plan was shaped by a desire to cluster the residences to avoid encroaching on the site's steep slopes and creek. A setback of 100 feet from the top of creek bank to all residential structures was required. The project also includes a comprehensive creek stabilization and restoration plan for approximately 1,800 linear feet of Arroyo Burro Creek adjacent to the development site, and restoration work on the adjacent City-owned parcel.

Site access to all but three lots is provided via a public bridge over Arroyo Burro Creek that intersects with Las Positas Road and connects to the new public street serving the development. The remaining three homes are accessed from the end of Alan Road.

A public pedestrian path along the western edge of the creek provides pedestrian and bicycle access from Alan Road to Las Positas Road.

Proposition Measure:

The City Charter and the California Elections Code require that the City Council adopt the resolutions described below to place a measure on a ballot. City staff recommends that the City Council adopt the required resolutions concerning the upcoming June 2012 Primary Election, to allow the proposed Veronica Meadows bridge to be built on a City park parcel:

- Calling for the election;
- Consolidating the election with the Primary Election being conducted by the County of Santa Barbara;
- Directing the City Attorney to prepare an impartial analysis of the City's measure; and
- Setting priorities for determining whether the City Council or any individual member(s) of City Council will file an argument regarding the measure.

City Attorney's Impartial Analysis:

In accordance with the Elections Code, it is also recommended that the City Council direct the City Attorney to prepare an impartial analysis of the proposed measure. Under the State Elections Code, a copy of the City Attorney's impartial analysis will be included in the sample ballot materials provided to each City voter prior to the election. A copy of the proposed ordinance will also either be printed in the sample ballot materials or otherwise be made readily available to the public.

The first day the City Clerk's Office will receive the City Attorney's impartial analysis is February 16, 2012, and the last day will be February 29, 2012.

Written Ballot Arguments:

The City Council, or any member or members of the City Council, or any individual voter who is eligible to vote on the measure, or bona fide association of citizens, or any combination of voters and associations, may file a written argument for or against the measure.

The first day the City Clerk's Office will receive typewritten arguments in favor of or against the measure is February 16, 2012, and the last day will be February 29, 2012.

The Elections Code provides that upon authorization by the City Council, an argument prepared and signed by the City Council or by one or more Councilmembers shall be given first priority for placement in the sample ballot election brochure by the City Elections Official.

Rebuttal Arguments:

The first day the City Clerk's Office will receive typewritten rebuttal arguments by the authors of direct arguments for and against the measure is March 1, 2012, and the last day will be March 12, 2012.

Public Examination Period:

The public examination period of the City Attorney's impartial analysis, and the ballot measure arguments and rebuttal arguments filed with the City Clerk's Office is 10 days, commencing March 13, 2012, and concluding March 22, 2012.

Environmental Review:

The City Council certified a Final Environmental Impact Report (2008 Final EIR) for the Veronica Meadows Specific Plan on June 17, 2008 (Resolution No. 08-049). At that time the Council adopted findings of fact, a Mitigation Monitoring and Reporting Program and a Statement of Overriding consideration for the project, which included the bridge/road that is the subject of the proposed ballot measure. The 2008 Final EIR fully analyzed the impacts of the bridge/road, and no changes to the certified 2008 Final EIR are required for the bridge ballot measure. An Addendum has been prepared by Community Development staff to explain and acknowledge the fact that a portion of the road and bridge for the project will subject to voter approval in addition to approval by the City Council and that this voter approval or rejection will not affect the potential environmental impacts analyzed in the Project EIR nor change any of the Project required mitigation measures.

BUDGET/FINANCIAL INFORMATION:

In preparing the paperwork for placing a Veronica Meadows bridge ballot measure on the June 2012 ballot, staff recommends that the owners of the Veronica Meadows subdivision be required to reimburse the City for 100% of the election cost by posting a \$78,000 cash deposit for the estimated full cost for consolidating this special City election with the statewide primary election being conducted by the County (as those costs have been estimated by the County Elections Office.) These funds would need to be on deposit before the City staff files the official City Election resolution to the Clerk of the County Board of Supervisors and requests the County to call a "consolidated" election.

ATTACHMENT: Veronica Meadows Project EIR Addendum #3, dated January 31, 2012

PREPARED BY: Allison De Busk, Project Planner
Stephen P. Wiley, City Attorney

SUBMITTED BY: Stephen P. Wiley, City Attorney

APPROVED BY: City Administrator's Office



City of Santa Barbara Planning Division

ADDENDUM #3
TO A CERTIFIED FINAL ENVIRONMENTAL IMPACT REPORT
VERONICA MEADOWS PROJECT (MST99-00608)

900-1100 LAS POSITAS ROAD

SCH # 2003091128

JANUARY 31, 2012

This Addendum is prepared in accordance with the California Environmental Quality Act (CEQA) Guidelines Section 15164, which provides that an Addendum to an Environmental Impact Report may be prepared under circumstances where only minor changes or additions are necessary to make the prior document adequate for the current project as revised. This Addendum is prepared to address the need for a ballot measure for the bridge across City-owned property to access the development.

PREVIOUSLY APPROVED ENVIRONMENTAL DOCUMENT

The Veronica Meadows Final Environmental Impact Report (2008 Final EIR) was certified by the City Council on June 17, 2008 (Resolution No. 08-049). The 2008 Final EIR is comprised of the 2005 Final EIR dated January 2005 and the Final Revised EIR dated May 2008, as well as the first and second addenda to the 2005 Final EIR dated August 19, 2006 and November 17, 2006, respectively.

Litigation over the project related to the project's environmental review ensued; however, the project applicant prevailed and a final judgment was entered in its favor establishing the complete adequacy of the 2008 Final EIR for the purposes of CEQA.

CHANGES NECESSITATING AN ADDENDUM

Litigation over the project also resulted in a determination that the project's bridge across Arroyo Burro Creek requires approval by City voters in accordance with City Charter Section 520. This addendum addresses that change in processing.

ANALYSIS OF ENVIRONMENTAL CIRCUMSTANCES

Since the time of the 2008 Final EIR analysis, there have been no substantial changes in environmental conditions on the ground, the status of environmental resources, or the City's impact evaluation guidelines.

CEQA FINDING

Based on the above review of the project, in accordance with State CEQA Guidelines Section 15162, no subsequent MND or Environmental Impact Report is required for the current project because new information, and changes in circumstances, project description, impacts

Addendum to 2008 Final EIR
Veronica Meadows (MST99-00608)
January 31, 2012
Page 2 of 2

and mitigations are not substantial and do not involve new potentially significant impacts or a substantial increase in the severity of previously identified impacts.

There are no changes to previously identified project impacts based on the need for voter approval of the bridge. This Addendum, together with the 2008 Final EIR constitutes adequate environmental documentation in compliance with CEQA for the project.

Prepared by: Allison De Busk Date: 1-31-12
Allison De Busk, Project Planner

RESOLUTION NO. ____

A RESOLUTION OF THE COUNCIL OF THE CITY OF SANTA BARBARA CALLING AND GIVING NOTICE OF THE HOLDING OF A SPECIAL MUNICIPAL ELECTION TO BE HELD IN THE CITY OF SANTA BARBARA ON TUESDAY, JUNE 5, 2012, FOR THE SUBMISSION OF A PROPOSITION MEASURE TO THE VOTERS OF THE CITY PURSUANT TO CITY CHARTER SECTION 520 CONCERNING THE FUTURE USE OF CERTAIN UNDEVELOPED CITY PARKLAND PROPERTY

WHEREAS, pursuant to authority provided by state Elections Code section 9222 and Article XI, Section 5 of the California Constitution, the City Council of the City of Santa Barbara, hereby elects to call a special City election in order to submit a proposed City of Santa Barbara ballot proposition measure to the electorate of the City for possible electorate approval as required by section 520 of the Santa Barbara City Charter; and

WHEREAS, the City Council is authorized by the section 10400 of the state Elections Code to consolidate this special City election with the statewide Primary Election to be conducted on June 5, 2012, by the County of Santa Barbara and the City Council will be acting concurrently with the adoption of this resolution to effectuate such a consolidation.

NOW, THEREFORE, BE IT RESOLVED BY THE COUNCIL OF THE CITY OF SANTA BARBARA AS FOLLOWS:

SECTION 1. That pursuant to the requirements of the City Charter and the laws of the state of California, there is called and ordered to be held in the City of Santa Barbara, on Tuesday, June 5, 2012, a special municipal election for the purpose of submitting a ballot proposition measure to the voters of the City for their due approval or rejection with a ballot label (as authorized by Elections Code section 13247) as follows:

CITY OF SANTA BARBARA

MEASURE
__ 2012

YES	
NO	

Shall the City Council allow the construction, at no cost to the City, of a public road and bridge on City land, zoned as an “Undeveloped Park” where the road/bridge have been determined to be: 1. compatible with eventual park use of the land because it provides public access, and 2. accessory to future public use of the Undeveloped Park and the restored portion of Arroyo Burro Creek to be provided at no public expense?

SECTION 2. That the ballots to be used at the election shall be in form and content as required by law.

SECTION 3. That the City Clerk is authorized, instructed, and directed to procure and furnish any and all official ballots, notices, printed matter and all supplies, and equipment that may be necessary in order to properly and lawfully conduct the election.

SECTION 4. That the polls for the election shall be open at seven o'clock a.m. of the day of the election and shall remain open continuously from that time until 8 o'clock p.m. of the same day when the polls shall be closed, pursuant to Section 10242 of the Elections Code, except as provided in Section 14401 of the Elections Code of the State of California.

SECTION 5. That in all particulars not recited in this resolution, the election shall be held and conducted as provided by law for holding municipal elections.

SECTION 6. That notice of the time and place of holding the election is given and the City Clerk is authorized, instructed and directed to give further or additional notice of the election in time, form and manner as required by law.

SECTION 7. This Resolution shall not take effect unless and until a cash deposit has been made with the City, not later than seven(7) days after Council action to adopt this resolution, to reimburse the City for the estimated cost of a consolidated City and Statewide Primary Election conducted by the County of Santa Barbara.

RESOLUTION NO. ____

A RESOLUTION OF THE COUNCIL OF THE CITY OF SANTA BARBARA REQUESTING THE BOARD OF SUPERVISORS OF THE COUNTY OF SANTA BARBARA TO CONSOLIDATE A SPECIAL MUNICIPAL ELECTION TO BE HELD ON JUNE 5, 2012, WITH THE STATEWIDE PRIMARY ELECTION TO BE HELD ON THAT DATE PURSUANT TO SECTION 10403 OF THE ELECTIONS CODE

WHEREAS, pursuant to authority provided by state Elections Code section 9222 and Article XI, Section 5 of the California Constitution, the City Council of the City of Santa Barbara, hereby elects to call a special City election in order to submit a proposed City of Santa Barbara ballot proposition measure to the electorate of the City for possible electorate approval as required by section 520 of the Santa Barbara City Charter; and

WHEREAS, it is desirable that the Special Municipal Election be consolidated with the Statewide Primary Election being held on the same date, and that within the City of Santa Barbara the precincts, polling places, and election officers of the two elections be the same, and that the County Registrar of Voters of the County of Santa Barbara canvass the returns of the Special Municipal Election, and that the election be held in all respects as if there were only one election.

NOW, THEREFORE, BE IT RESOLVED BY THE COUNCIL OF THE CITY OF SANTA BARBARA AS FOLLOWS:

SECTION 1. That pursuant to requirements of Section 10403 of the California Elections Code, the Board of Supervisors of the County of Santa Barbara is hereby requested to consent and agree to the consolidation of the Special City of Santa Barbara Municipal Election with the Statewide Primary Election to be held on Tuesday, June 5, 2012, for the submission of a proposed ordinance to the voters of the City.

SECTION 2. That a ballot proposition is to appear on the ballot with a ballot label as follows:

CITY OF SANTA BARBARA					
MEASURE ___ 2012	<table border="1"><tr><td>YES</td><td></td></tr><tr><td>NO</td><td></td></tr></table>	YES		NO	
YES					
NO					
<p>Shall the City Council allow the construction, at no cost to the City, of a public road and bridge on City land, zoned as an "Undeveloped Park" where the road/bridge have been determined to be: 1. compatible with eventual park use of the land because it provides public access, and 2. accessory to future public use of the Undeveloped Park and the restored portion of Arroyo Burro Creek to be provided at no public expense?</p>					

SECTION 3. That the County Elections Division is authorized to canvass the returns of the Special Municipal Election. The election shall be held in all respects as if there were only one election, and only one form of ballot shall be used.

SECTION 4. That the Board of Supervisors of the County of Santa Barbara is requested to issue instructions to the County Elections Division to take any and all steps necessary for the holding of the consolidated election.

SECTION 5. That the City of Santa Barbara recognizes that additional costs will be incurred by the County of Santa Barbara by reason of this consolidation and agrees to reimburse the County for these additional costs in the manner authorized by state Elections Code section 13000 and Government Code section 51350.

SECTION 6. That the City Clerk is hereby directed to file a certified copy of this resolution with the Board of Supervisors and the County Elections Division of the County of Santa Barbara.

RESOLUTION NO. _____

A RESOLUTION OF THE COUNCIL OF THE CITY OF SANTA BARBARA DIRECTING THE CITY ATTORNEY TO PREPARE AN IMPARTIAL ANALYSIS OF THE CITY MEASURE TO BE PLACED ON THE BALLOT FOR THE JUNE 5, 2012, SPECIAL MUNICIPAL ELECTION OF THE CITY OF SANTA BARBARA

WHEREAS, a Special Municipal Election is to be held in the City of Santa Barbara on June 5, 2012, at which there will be submitted to the voters the following measure:

CITY OF SANTA BARBARA					
MEASURE ___ 2012	<table border="1"><tr><td>YES</td><td></td></tr><tr><td>NO</td><td></td></tr></table>	YES		NO	
YES					
NO					
Shall the City Council allow the construction, at no cost to the City, of a public road and bridge on City land, zoned as an "Undeveloped Park" where the road/bridge have been determined to be: 1. compatible with eventual park use of the land because it provides public access, and 2. accessory to future public use of the Undeveloped Park and the restored portion of Arroyo Burro Creek to be provided at no public expense?					

NOW, THEREFORE, BE IT RESOLVED BY THE COUNCIL OF THE CITY OF SANTA BARBARA AS FOLLOWS:

SECTION 1. The City Council directs the City Clerk to transmit a copy of the measure and proposed ordinance to the City Attorney. The City Attorney shall prepare an impartial analysis of the measure and ordinance, not exceeding 500 words, showing the effect of the ordinance on the existing law and the operation of the measure. The impartial analysis shall be filed by the date set by the City Clerk for the filing of arguments.

RESOLUTION NO. _____

A RESOLUTION OF THE COUNCIL OF THE CITY OF SANTA BARBARA AUTHORIZING THE FILING OF A WRITTEN ARGUMENT REGARDING A CITY MEASURE TO BE PLACED ON THE BALLOT FOR THE JUNE 5, 2012, SPECIAL MUNICIPAL ELECTION

WHEREAS, a Special Municipal Election is to be held in the City of Santa Barbara on June 5, 2012, at which there will be submitted to the voters a measure concerning a proposed City ordinance as follows:

CITY OF SANTA BARBARA					
MEASURE ___ 2012	<table border="1"><tr><td>YES</td><td></td></tr><tr><td>NO</td><td></td></tr></table>	YES		NO	
YES					
NO					
<p>Shall the City Council allow the construction, at no cost to the City, of a public road and bridge on City land, zoned as an "Undeveloped Park" where the road/bridge have been determined to be: 1. compatible with eventual park use of the land because it provides public access, and 2. accessory to future public use of the Undeveloped Park and the restored portion of Arroyo Burro Creek to be provided at no public expense?</p>					

NOW, THEREFORE, BE IT RESOLVED BY THE COUNCIL OF THE CITY OF SANTA BARBARA AS FOLLOWS:

SECTION 1. The City Council authorizes members of that body to file a written argument regarding the City measure as specified above, accompanied by the printed name(s) and signature(s) of the person(s) submitting it, in accordance with Article 4, Chapter 3, Division 9 of the Elections Code of the State of California, and to change the argument until and including the date fixed by the City Clerk after which no arguments for or against the City measure may be submitted to the City Clerk.



CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012

TO: Mayor and Councilmembers

FROM: Planning Division, Community Development Department

SUBJECT: Implementation of General Plan Interim Policy ER7 For Air Quality Issues

RECOMMENDATION: That Council:

- A. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Regarding the Implementation of the General Plan Interim Policy Regarding Air Quality Issues; and
- B. Direct Staff to meet with the Council Ordinance Committee to consider project specific criteria to implement air quality policies, and return to Council for adoption of additional criteria.

DISCUSSION:

Background

The City considered potential health hazards and effects from air pollution during the *Plan Santa Barbara* General Plan Update process and in the Environmental Impact Report. Based on the recommendations of the California Air Resources Board (CARB) and Santa Barbara County Air Pollution Control District, an interim policy limiting new development near Highway 101 was proposed and discussed extensively during the process. The City also completed an area specific study for Santa Barbara that supported a buffer distance of 250 feet which was adopted by City Council in the following policy:

ER 7 Air Quality

New development of residential or other sensitive receptors (excluding minor additions or remodels of existing homes or one unit on vacant property) on lots of record within 250 feet of U.S. Hwy 101 will be prohibited in the interim period until California Air Resources Board (CARB) phased diesel emissions regulations are implemented and/or until the City determines that diesel emission risks can be satisfactorily reduced or that a project's particulate exposure level is sufficiently

reduced. The City will monitor the progress of CARB efforts and progress on other potential efforts or measures to address diesel emissions risks.

Possible Implementation Actions to be Considered

ER7.1 Review Criteria. Prepare project review criteria for the set-back area.

ER7.2 Barriers and Sound Walls. Pursue funding and installation of sound walls, trees and shrubs along unprotected areas of U.S. Hwy 101 to create a barrier to reduce particulate transmissions. Barriers and sound walls to be consistent with the Highway Santa Barbara Coastal Parkway Design Guidelines.

This is an interim policy because there are a number of regulatory changes underway in the area of diesel particulates and other pollutants. Studies and Air Resources Board data show that projected particulate levels are decreasing as a result of phased regulations in place and pending new vehicle emissions standards, diesel fuel formulation, equipment retrofitting, etc., and thus the need for such a setback distance is also expected to be short-term.

The policy directs that the City will adopt project criteria to implement it and to monitor the State regulatory process and air quality levels closely to determine when the interim policy should be lifted.

Exemption for Pending Projects

Staff recommends adopting a resolution defining the new development that is subject to the policy and which includes an exemption for projects that submitted a development application prior to Council adoption of the General Plan on December 1, 2011. Although some property owners were aware of this proposed policy, many were not well informed and it was uncertain throughout the discussion how it would be applied. It is customary for Council to consider applying new standards to new projects and to allow currently pending projects to proceed with the process based on the standards in effect at the time of their application.

Staff researched the permit data base and found approximately 16 projects pending for new residential development of 33 new units on parcels within 250 feet of Highway 101. Most projects involved design review for which the City received a Master Application. The projects are at various steps of the review process including some in plan check for building permits. A pending project at 517 W. Figueroa Street was recently approved by the Architectural Board of Review (ABR) for 6 new units on a vacant site. The ABR action was contingent upon what criteria Council approves. Another project at 1255 Coast Village Road is scheduled for Planning Commission on February 9 and staff is recommending approval of the project also contingent on Council action upon the criteria, including exempting pending projects.

Project Review Criteria

Staff provided mailed notice to owners and applicants with projects pending on properties within 250 feet of Highway 101 informing them of this Council meeting. For the few applicants with whom staff has spoken to date, staff explained the basis for the policy and stressed the importance for the City and property owners to work together to implement this policy fairly. We suggested that the development restriction within the setback distance will likely apply in most cases for residential and other sensitive uses. However, as stated in the policy language, the City will also consider what applicants can and will do to address this air quality concern on a project-specific basis through design considerations such as location of habitable buildings, windows, outdoor living space, and landscaping, as well as interior air systems.

Criteria could be open to allowing site specific analysis for physical design considerations, such as locating buildings away from Highway 101, careful placement of outdoor living areas, barrier walls, vegetation screening, inoperable windows, and ventilation systems as means to allow development to proceed on a lot located within 250 feet.

Because the object of the policy is to avoid an increase in the number of people exposed to a potential health hazard, staff recommends applying the policy to all types of development applications for sensitive receptors that require a building permit, not just those undergoing a planning review. The General Plan policy adopted by the City Council states is that any new residential units or development of buildings for sensitive receptor uses would be subject to this policy. Sensitive receptors are generally described as people that can be more adversely affected by air quality emissions, including children, the elderly, or people who are ill. The concern exists if there is extended exposure with some land uses typically associated with sensitive receptors include schools, parks, playgrounds, childcare centers, retirement homes, convalescent homes, hospitals, and clinics.

Staff is in communication with APCD. The District continues to recommend that the City use land use regulations and “mitigations” to avoid and reduce potential health hazards. The staff of the APCD recently provided City staff with resources to further explore these types of mitigations. APCD also agreed to work with us on technical input on possible criteria, and monitoring of studies and regulations at the State level. City staff recommends that Council adopt the recommended resolution and refer this issue to the Ordinance Committee for more discussion of possible case by case review criteria and monitoring approaches.

PREPARED BY: Bettie Weiss, City Planner

SUBMITTED BY: Paul Casey, Assistant City Administrator

APPROVED BY: City Administrator's Office

RESOLUTION NO. _____

A RESOLUTION OF THE COUNCIL OF THE CITY OF
SANTA BARBARA REGARDING THE IMPLEMENTATION
OF THE GENERAL PLAN INTERIM POLICY REGARDING
AIR QUALITY ISSUES

WHEREAS, the City undertook an update of the General Plan in a process known as *Plan Santa Barbara (PlanSB)*;

WHEREAS, an Environmental Impact Report was prepared, considered, and certified, and which informed the decision-making process in *PlanSB*;

WHEREAS, potential effects associated with air pollution including diesel particulates is a concern such that both the California Air Resources Board and the Santa Barbara County Air Pollution Control District recommended guidelines for reducing health hazards by limiting development of new residences and other sensitive receptor uses involving extensive exposure periods in close proximity to the highway;

WHEREAS, during the public process for *PlanSB*, the Planning Commission and City Council carefully considered the input from other agencies, property owners, and the general public;

WHEREAS, the air quality policy under consideration is intended to reduce exposure of more people to potential hazards by limiting new development of sensitive receptors close to Highway 101 for an interim period of time while the regulations requiring cleaner burning fuels and engines are being adopted and implemented to reduce the hazard;

WHEREAS, on December 1, 2011, the Council adopted the General Plan with a new Environmental Resources Element Policy Air Quality 7, along with implementation actions including direction to establish interim criteria for review of development, and to monitor associated regulations and levels of diesel particulate pollution to determine when the interim policy should be retired; and

WHEREAS, it is customarily the policy of the Council to consider applying new policies and standards to new development applications while exempting pending projects that began the City review process before the new policy was adopted.

NOW, THEREFORE, BE IT RESOLVED BY THE COUNCIL OF THE CITY OF SANTA BARBARA AS FOLLOWS:

SECTION 1. The following projects are exempt from the application of Policy ER7:

- a. Projects submitted to the City before December 1, 2011 for development permits including submittal of a Master Application, submittal for building permit plan check, or submittal of an application for other development approval.
- b. Projects that received an approval from the City prior to December 1, 2011 where the approval is still valid.

SECTION 2. For purposes of implementing Policy ER7, the term “New development” includes the following:

- a. The addition of two or more new residential units to a vacant lot.
- b. The addition of one or more new residential units to a lot with existing development.
- c. The development of a new building on any lot that will include a use that involves numerous visits, or extended periods of occupancy, by persons who are considered sensitive receptors. A change of use of an existing building is not considered new development.

SECTION 3. For purposes of implementing Policy ER7, the term “Minor Addition” is defined as follows: An addition of floor area to an existing residential unit that does not exceed 50% of the floor area that existed as of December 1, 2011. The amount of the additional floor area shall be measured in the aggregate during the time when the policy is in effect.



Agenda Item No. _____

File Code No. 230.04

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012
TO: Mayor and Councilmembers
FROM: Accounting Division, Finance Department
SUBJECT: Fiscal Year 2012 Mid-Year Review

RECOMMENDATION: That Council:

- A. Hear a report from staff on the status of revenues and expenditures in relation to budget as of December 31, 2011;
- B. Accept the Fiscal Year 2012 Interim Financial Statements for the Six Months Ended December 31, 2011; and
- C. Approve the proposed mid-year adjustments to Fiscal Year 2012 appropriations and estimated revenues.

DISCUSSION:

Each month, staff presents the interim financial statements (Attachment 1) showing the status of revenues and expenditures in relation to budget for each of the City's Funds. Each quarter, the interim financial statements are expanded to include a detailed narrative analysis of the General Fund and Enterprise Funds. This narrative analysis is included in Attachment 2.

In addition to the mid-year budget analysis, staff brings forward recommended adjustments for City Council approval. These adjustments are the result of new information and/or unanticipated events that occurred since the adoption of the budget in June 2011.

Attachment 3 includes proposed adjustments to the current year budget. A discussion of each is presented below.

General Fund

Intergovernmental Revenues

As part of the State's budget balancing plan for FY 2011-12, the Governor signed SB 89 that shifted Motor Vehicle License Fees (MVLFF) from cities and counties to fund state law enforcement grants. As a result, the City's revenue projection for MVLFF of \$200,000 will not materialize. However, the City will receive additional COPS/SLESF grant funds of \$44,188 to fund police personnel costs. Staff recommends reducing the amount budgeted as revenue in the General Fund and increasing COPS/SLESF estimated revenues and appropriations accordingly.

City Attorney

The City Attorney budget includes appropriations for online legal research services, law library updates, and other such legal publications. Due to substantial increases in subscription charges for these services, staff is recommending an additional appropriation of \$10,000 for publications.

In order to fund outside paralegal support for work on the gang injunction litigation, staff is recommending an additional appropriation of \$10,000 for professional services.

County Library Special Revenue Fund

The City received donations of \$48,349 from the Friends of the Library for the benefit of the Solvang, Montecito, and Carpinteria libraries. Most of the funds will be used to supplement the book acquisitions budget and personnel salaries for the three libraries. As for the Goleta branch, donations and Library Services and Technology Act (LSTA) grant revenues will generate \$37,421 in additional revenues that will be spent on book acquisitions and other special supplies. Staff recommends increasing both estimated revenues and appropriations by a total of \$85,770.

Streets Grants Capital Projects Fund

The City previously applied for various grants through the Federal Highway Administration, and staff has now been notified that funding approval was authorized. As a result, adjustments in the amount of \$1,166,567 are needed to reconcile grant awards for various bridge design and construction projects; City matching funds are not required at this time. Attachment 3 details the recommended adjustments to account for the changes in grant funding.

Cater Improvement Project Fund (Water)

1. In establishing the budget for the most recent Cater Ozone loan, staff identified a discrepancy from a similar State Revolving Loan in 2006. Due to an oversight, design costs totaling \$395,353 were not submitted for funding from State loan proceeds, leaving a deficit in the Cater Improvement Project Fund. To eliminate the deficit, staff is recommending a transfer of \$395,353 from the Water Capital Fund to the Cater Improvement Project Fund. Currently, the Water Capital Fund is reporting surplus funds due to capital project cost savings accumulated over the past few years.
2. In the past few years, the Water fund has paid for initial project costs pertaining to the most recent Cater Ozone project in anticipation that these costs would be reimbursed from a pending State Revolving Loan. After receiving approval for a State Revolving Loan to fund the project, staff submitted reimbursement requests for those costs. Therefore, staff recommends transferring \$2,496,631 from the Cater Improvement Project Fund to the Water Operating Fund as reimbursement for costs incurred prior to loan approval.

Airport Fund

Due to unanticipated circumstances, Airport staff is recommending an increase in appropriations in three existing capital projects and funding three new capital projects. Each of these is described below.

Existing Projects:

1. Goleta Sanitary District Upgrade (\$767,000) – The Airport is a member of the Goleta Sanitary District. In October 2007, the City Council approved the third amendment to the Agreement for expansion of the Goleta Sanitary District sewage disposal treatment plant. The Airport's share of the cost is based on capacity allocation of 2.84%. Funding for the design, permitting, and initial construction was funded in 2007; the construction contract has been issued by the District and the Airport's remaining share of costs is \$767,000.
2. Goleta Slough Mitigation (\$551,341) – The Runway Safety Project included approximately \$9 million in mitigation projects in the Goleta Slough Ecological Reserve. These projects must be maintained for seven years after construction. Federal grants were used for the first three years; however, since the grants have closed, the Airport is responsible for providing funds for the remaining maintenance period.

3. Airline Terminal Improvement (\$538,724) – Funding for the Terminal project included Federal Aviation Administration and Airport Improvement Program (AIP) grants. Congress has failed to pass legislation for the FAA and the AIP entitlement grant program since 2007. As a result, the Airport did not receive grant funds in a timely manner and had to use Airport capital funding. In most recent weeks, the Senate and House passed a bill to renew and extend federal aviation grant funding through 2015, and the President is expected to sign it into law. The City will still be required to submit grant applications to be eligible; grant funding is expected to be awarded by June 2012. It is anticipated that the City may be reimbursed for some of the project costs included in this appropriation request.

New Projects:

1. Parking Lot Kiosk (\$120,000) – The Airline Terminal Improvement Project included a redesign of the short-term parking lot using automated parking equipment. The automated equipment requires parking staff to be available to assist when equipment malfunctions, requiring construction of a small kiosk in the short-term parking lot.
2. Parking Lot Kiosk Equipment (\$250,000) – Automated parking equipment will be installed in the short-term parking lot, which is re-opening after completion of the terminal expansion. The equipment purchased will be consistent with equipment already in place at both long-term lots.
3. Building Demolition (\$130,000) – There are structures on the Airport that are no longer habitable, and require removal; project will include the demolition of the Chrysler building and a hangar.

Staff recommends funding all of the additional appropriations totaling \$2,357,065 from reserves in the Airport Operating Fund above amounts required and funded pursuant to City policy.

Wastewater Fund

Due to the Channelkeeper lawsuit filed against the City, legal costs for outside attorney services are projected to be higher than budgeted. As a result, staff recommends an appropriation of \$150,000 funded from Wastewater reserves.

Intra-City Services Fund (Facilities)

Due to safety issues, staff is recommending completing the Dwight Murphy Sports Lighting project in the current year. An appropriation of \$200,000 from the Facilities reserves is needed to cover project costs.

- ATTACHMENTS:**
1. Summary by Fund Statement of Revenues and Expenditures for the Six Months Ended December 31, 2011
 2. Interim Financial Statements for the Six Months Ended December 31, 2011 (Narrative Analysis)
 3. Proposed Mid-Year Adjustments

PREPARED BY: Ruby Carrillo, Accounting Manager

SUBMITTED BY: Robert Samario, Finance Director

APPROVED BY: City Administrator's Office

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenditures
Summary by Fund
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	<u>Annual Budget</u>	<u>YTD Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>
GENERAL FUND					
Revenue	103,255,521	46,879,617	-	56,175,904	45.4%
Expenditures	103,582,186	50,373,720	1,667,627	51,540,840	50.2%
<i>Addition to / (use of) reserves</i>	<u>(326,665)</u>	<u>(3,494,103)</u>	<u>(1,667,627)</u>		
WATER OPERATING FUND					
Revenue	35,671,185	18,522,061	-	17,149,124	51.9%
Expenditures	43,447,024	19,091,003	2,844,852	21,511,169	50.5%
<i>Addition to / (use of) reserves</i>	<u>(7,775,839)</u>	<u>(568,941)</u>	<u>(2,844,852)</u>		
WASTEWATER OPERATING FUND					
Revenue	16,395,810	8,313,526	-	8,082,284	50.7%
Expenditures	17,517,788	7,782,578	1,585,446	8,149,763	53.5%
<i>Addition to / (use of) reserves</i>	<u>(1,121,978)</u>	<u>530,947</u>	<u>(1,585,446)</u>		
DOWNTOWN PARKING					
Revenue	7,036,049	3,630,683	-	3,405,366	51.6%
Expenditures	7,582,431	3,592,610	395,554	3,594,268	52.6%
<i>Addition to / (use of) reserves</i>	<u>(546,382)</u>	<u>38,074</u>	<u>(395,554)</u>		
AIRPORT OPERATING FUND					
Revenue	15,030,488	7,372,233	-	7,658,255	49.0%
Expenditures	15,553,623	6,672,326	569,195	8,312,102	46.6%
<i>Addition to / (use of) reserves</i>	<u>(523,135)</u>	<u>699,907</u>	<u>(569,195)</u>		
GOLF COURSE FUND					
Revenue	2,060,146	907,805	-	1,152,341	44.1%
Expenditures	2,065,870	1,004,885	112,148	948,837	54.1%
<i>Addition to / (use of) reserves</i>	<u>(5,724)</u>	<u>(97,081)</u>	<u>(112,148)</u>		
INTRA-CITY SERVICE FUND					
Revenue	6,119,971	3,037,312	-	3,082,659	49.6%
Expenditures	6,122,735	2,903,307	873,548	2,345,880	61.7%
<i>Addition to / (use of) reserves</i>	<u>(2,764)</u>	<u>134,005</u>	<u>(873,548)</u>		

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenditures
Summary by Fund
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	Annual Budget	YTD Actual	Encum- brances	Remaining Balance	Percent of Budget
FLEET REPLACEMENT FUND					
Revenue	2,230,083	1,127,178	-	1,102,905	50.5%
Expenditures	1,502,646	340,616	26,169	1,135,861	24.4%
<i>Addition to / (use of) reserves</i>	<u>727,437</u>	<u>786,563</u>	<u>(26,169)</u>		
FLEET MAINTENANCE FUND					
Revenue	2,530,723	1,253,011	-	1,277,712	49.5%
Expenditures	2,482,012	1,019,547	227,931	1,234,535	50.3%
<i>Addition to / (use of) reserves</i>	<u>48,711</u>	<u>233,464</u>	<u>(227,931)</u>		
SELF INSURANCE TRUST FUND					
Revenue	5,391,678	2,588,069	-	2,803,609	48.0%
Expenditures	9,055,327	4,348,914	241,132	4,465,281	50.7%
<i>Addition to / (use of) reserves</i>	<u>(3,663,649)</u>	<u>(1,760,845)</u>	<u>(241,132)</u>		
INFORMATION SYSTEMS ICS FUND					
Revenue	2,306,135	1,154,275	-	1,151,860	50.1%
Expenditures	2,347,350	1,178,495	151,434	1,017,421	56.7%
<i>Addition to / (use of) reserves</i>	<u>(41,215)</u>	<u>(24,220)</u>	<u>(151,434)</u>		
WATERFRONT FUND					
Revenue	12,203,518	6,580,089	-	5,623,429	53.9%
Expenditures	11,981,963	5,929,610	777,383	5,274,970	56.0%
<i>Addition to / (use of) reserves</i>	<u>221,555</u>	<u>650,479</u>	<u>(777,383)</u>		
TOTAL FOR ALL FUNDS					
Revenue	210,231,307	101,365,859	-	108,665,448	48.2%
Expenditures	223,240,958	104,237,610	9,472,420	109,530,928	50.9%
<i>Addition to / (use of) reserves</i>	<u>(13,009,651)</u>	<u>(2,871,751)</u>	<u>(9,472,420)</u>		

*** It is City policy to adopt a balanced budget. In most cases, encumbrance balances exist at year-end. These encumbrance balances are obligations of each fund and must be reported at the beginning of each fiscal year. In addition, a corresponding appropriations entry must be made in order to accommodate the 'carried-over' encumbrance amount. Most differences between budgeted annual revenues and expenses are due to these encumbrance carryovers.*

CITY OF SANTA BARBARA
General Fund
Interim Statement of Budgeted and Actual Revenues
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	Annual Budget	YTD Actual	Remaining Balance	Percent Received	Previous YTD
TAXES					
Sales and Use	17,949,013	7,322,448	10,626,564	40.8%	6,749,831
Property Taxes	23,063,000	8,612,610	14,450,390	37.3%	8,701,723
Utility Users Tax	7,144,500	3,615,774	3,528,726	50.6%	3,521,932
Transient Occupancy Tax	13,011,452	7,953,158	5,058,294	61.1%	7,261,448
Franchise Fees	3,593,200	1,659,224	1,933,977	46.2%	1,670,255
Business License	2,229,800	904,302	1,325,498	40.6%	944,434
Real Property Transfer Tax	410,000	182,062	227,938	44.4%	204,871
<i>Total</i>	<u>67,400,965</u>	<u>30,249,578</u>	<u>37,151,387</u>	44.9%	<u>29,054,494</u>
LICENSES & PERMITS					
Licenses & Permits	182,900	109,943	72,957	60.1%	73,076
<i>Total</i>	<u>182,900</u>	<u>109,943</u>	<u>72,957</u>	60.1%	<u>73,076</u>
FINES & FORFEITURES					
Parking Violations	2,403,500	1,187,347	1,216,153	49.4%	1,226,341
Library Fines	133,516	54,765	78,751	41.0%	54,292
Municipal Court Fines	180,000	59,814	120,186	33.2%	88,938
Other Fines & Forfeitures	210,000	107,906	102,094	51.4%	114,197
<i>Total</i>	<u>2,927,016</u>	<u>1,409,832</u>	<u>1,517,184</u>	48.2%	<u>1,483,768</u>
USE OF MONEY & PROPERTY					
Investment Income	740,827	363,313	377,514	49.0%	424,129
Rents & Concessions	397,952	140,030	257,922	35.2%	224,871
<i>Total</i>	<u>1,138,779</u>	<u>503,342</u>	<u>635,437</u>	44.2%	<u>649,000</u>
INTERGOVERNMENTAL					
Grants	488,610	96,244	392,366	19.7%	306,029
Vehicle License Fees	200,000	-	-	0.0%	156,405
Reimbursements	14,040	1,323	12,717	9.4%	5,263
<i>Total</i>	<u>702,650</u>	<u>97,567</u>	<u>405,083</u>	13.9%	<u>467,697</u>
FEES & SERVICE CHARGES					
Finance	860,000	418,008	441,992	48.6%	424,515
Community Development	4,525,570	2,123,498	2,402,072	46.9%	2,163,276
Recreation	2,274,257	1,100,908	1,173,349	48.4%	1,010,553
Public Safety	499,673	284,027	215,646	56.8%	206,516
Public Works	5,286,083	2,512,613	2,773,470	47.5%	2,502,944
Library	675,575	340,574	335,001	50.4%	367,447
Reimbursements	6,227,567	2,924,282	3,303,285	47.0%	2,755,760
<i>Total</i>	<u>20,348,725</u>	<u>9,703,910</u>	<u>10,644,815</u>	47.7%	<u>9,431,012</u>
OTHER MISCELLANEOUS REVENUES					
Miscellaneous	1,392,091	843,783	548,308	60.6%	883,862
Indirect Allocations	6,111,818	3,055,909	3,055,909	50.0%	3,260,255
Operating Transfers-In	3,050,577	905,751	2,144,826	29.7%	541,079
<i>Total</i>	<u>10,554,486</u>	<u>4,805,444</u>	<u>5,749,042</u>	45.5%	<u>4,685,196</u>
TOTAL REVENUES	<u>103,255,521</u>	<u>46,879,617</u>	<u>56,175,904</u>	45.4%	<u>45,844,245</u>

CITY OF SANTA BARBARA
General Fund
Interim Statement of Appropriations, Expenditures and Encumbrances
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	<u>Annual Budget</u>	<u>YTD Actual</u>	<u>Encum- brances</u>	<u>** Remaining Balance</u>	<u>YTD Expended and Encumbered</u>	<u>Previous YTD</u>
GENERAL GOVERNMENT						
<u>Mayor & City Council</u>						
MAYOR	725,196	342,891	977	381,329	47.4%	
<i>Total</i>	<u>725,196</u>	<u>342,891</u>	<u>977</u>	<u>381,329</u>	47.4%	<u>341,672</u>
<u>City Attorney</u>						
CITY ATTORNEY	1,930,640	969,539	-	961,101	50.2%	
<i>Total</i>	<u>1,930,640</u>	<u>969,539</u>	<u>-</u>	<u>961,101</u>	50.2%	<u>957,001</u>
<u>Administration</u>						
CITY ADMINISTRATOR	1,468,399	712,816	1,467	754,116	48.6%	
CITY TV	455,110	201,900	40,067	213,143	53.2%	
<i>Total</i>	<u>1,923,509</u>	<u>914,716</u>	<u>41,534</u>	<u>967,259</u>	49.7%	<u>892,854</u>
<u>Administrative Services</u>						
CITY CLERK	435,245	207,230	13,711	214,303	50.8%	
ADMIN SVCS-ELECTIONS	300,000	84,297	177,360	38,343	87.2%	
HUMAN RESOURCES	1,197,982	545,833	22,511	629,638	47.4%	
ADMIN SVCS-EMPLOYEE DEVELOPMENT	14,447	44	-	14,403	0.3%	
<i>Total</i>	<u>1,947,674</u>	<u>837,405</u>	<u>213,583</u>	<u>896,686</u>	54.0%	<u>717,998</u>
<u>Finance</u>						
ADMINISTRATION	219,098	117,632	10,212	91,254	58.4%	
TREASURY	482,061	195,312	-	286,750	40.5%	
CASHIERING & COLLECTION	417,180	208,087	-	209,093	49.9%	
LICENSES & PERMITS	417,558	191,772	-	225,786	45.9%	
BUDGET MANAGEMENT	396,344	191,839	-	204,505	48.4%	
ACCOUNTING	478,913	244,927	31,591	202,395	57.7%	
PAYROLL	268,474	127,107	-	141,367	47.3%	
ACCOUNTS PAYABLE	207,832	102,858	-	104,974	49.5%	
CITY BILLING & CUSTOMER SERVICE	583,635	237,447	1,831	344,357	41.0%	
PURCHASING	659,344	323,915	2,566	332,864	49.5%	
CENTRAL STORES	160,010	78,066	500	81,444	49.1%	
MAIL SERVICES	102,301	49,288	500	52,513	48.7%	
<i>Total</i>	<u>4,392,750</u>	<u>2,068,248</u>	<u>47,200</u>	<u>2,277,301</u>	48.2%	<u>1,994,526</u>
TOTAL GENERAL GOVERNMENT	<u>10,919,769</u>	<u>5,132,799</u>	<u>303,294</u>	<u>5,483,677</u>	49.8%	<u>4,904,052</u>
PUBLIC SAFETY						
<u>Police</u>						
CHIEF'S STAFF	979,104	501,230	567	477,308	51.3%	
SUPPORT SERVICES	574,199	268,183	988	305,028	46.9%	
RECORDS	1,172,517	543,284	5,434	623,799	46.8%	
COMMUNITY SVCS	729,721	354,682	2,647	372,392	49.0%	
PROPERTY ROOM	165,159	64,845	-	100,314	39.3%	
TRNG/RECRUITMENT	405,269	266,627	15,596	123,047	69.6%	

CITY OF SANTA BARBARA
General Fund
Interim Statement of Appropriations, Expenditures and Encumbrances
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	<u>Annual Budget</u>	<u>YTD Actual</u>	<u>Encum- brances</u>	<u>** Remaining Balance</u>	<u>YTD Expended and Encumbered</u>	<u>Previous YTD</u>
PUBLIC SAFETY						
<u>Police</u>						
RANGE	1,184,348	567,481	47,217	569,650	51.9%	
BEAT COORDINATORS	784,859	330,427	-	454,432	42.1%	
INFORMATION TECHNOLOGY	1,275,768	630,863	13,870	631,035	50.5%	
INVESTIGATIVE DIVISION	4,582,903	2,180,175	4,213	2,398,515	47.7%	
CRIME LAB	130,163	66,095	-	64,068	50.8%	
PATROL DIVISION	14,663,551	7,283,218	131,512	7,248,821	50.6%	
TRAFFIC	1,288,412	654,426	1,100	632,886	50.9%	
SPECIAL EVENTS	772,599	750,927	-	21,672	97.2%	
TACTICAL PATROL FORCE	1,324,561	558,919	-	765,642	42.2%	
STREET SWEEPING ENFORCEMENT	294,783	147,303	-	147,480	50.0%	
NIGHT LIFE ENFORCEMENT	297,965	133,043	-	164,922	44.7%	
PARKING ENFORCEMENT	931,552	404,518	27,800	499,234	46.4%	
CCC	2,361,140	1,070,211	1,854	1,289,074	45.4%	
ANIMAL CONTROL	607,170	274,128	-	333,042	45.1%	
<i>Total</i>	<u>34,525,743</u>	<u>17,051,606</u>	<u>252,797</u>	<u>17,221,340</u>	50.1%	<u>16,501,094</u>
<u>Fire</u>						
ADMINISTRATION	740,779	376,976	4,102	359,701	51.4%	
EMERGENCY SERVICES AND PUBLIC ED	246,838	116,397	-	130,441	47.2%	
PREVENTION	1,109,296	547,918	783	560,596	49.5%	
WILDLAND FIRE MITIGATION PROGRAM	172,505	80,078	16,518	75,909	56.0%	
OPERATIONS	17,119,140	8,299,974	74,546	8,744,620	48.9%	
ARFF	1,698,433	857,098	-	841,335	50.5%	
<i>Total</i>	<u>21,086,991</u>	<u>10,278,440</u>	<u>95,949</u>	<u>10,712,601</u>	49.2%	<u>10,551,082</u>
TOTAL PUBLIC SAFETY	<u>55,612,734</u>	<u>27,330,046</u>	<u>348,746</u>	<u>27,933,942</u>	49.8%	<u>27,052,176</u>
PUBLIC WORKS						
<u>Public Works</u>						
ADMINISTRATION	868,519	396,155	12,633	459,731	47.1%	
ENGINEERING SVCS	4,357,704	2,032,568	19,444	2,305,692	47.1%	
PUBLIC RT OF WAY MGMT	1,176,628	551,363	5,664	619,601	47.3%	
ENVIRONMENTAL PROGRAMS	421,105	95,259	146,578	179,268	57.4%	
<i>Total</i>	<u>6,823,956</u>	<u>3,075,345</u>	<u>184,319</u>	<u>3,564,292</u>	47.8%	<u>3,084,348</u>
TOTAL PUBLIC WORKS	<u>6,823,956</u>	<u>3,075,345</u>	<u>184,319</u>	<u>3,564,292</u>	47.8%	<u>3,084,348</u>
COMMUNITY SERVICES						
<u>Parks & Recreation</u>						
PRGM MGMT & BUS SVCS	370,912	215,146	42	155,724	58.0%	
FACILITIES	731,720	362,994	12,580	356,146	51.3%	
YOUTH ACTIVITIES	743,003	413,784	3,999	325,221	56.2%	
SR CITIZENS	717,260	386,359	826	330,076	54.0%	

CITY OF SANTA BARBARA
General Fund
Interim Statement of Appropriations, Expenditures and Encumbrances
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	Annual Budget	YTD Actual	Encum- brances	** Remaining Balance	YTD Expended and Encumbered	Previous YTD
COMMUNITY SERVICES						
<u>Parks & Recreation</u>						
AQUATICS	1,040,683	644,377	34,167	362,140	65.2%	
SPORTS	423,214	211,103	13,911	198,200	53.2%	
TENNIS	224,714	108,906	-	115,808	48.5%	
NEIGHBORHOOD & OUTREACH SERV	980,833	496,543	4,070	480,220	51.0%	
ADMINISTRATION	522,889	262,132	-	260,757	50.1%	
PROJECT MANAGEMENT TEAM	222,476	116,874	-	105,602	52.5%	
BUSINESS SERVICES	299,201	122,417	4,646	172,138	42.5%	
FACILITY & PROJECT MGT	992,450	561,355	1,510	429,586	56.7%	
GROUNDS MANAGEMENT	4,119,025	1,916,945	88,420	2,113,660	48.7%	
FORESTRY	1,160,228	530,122	124,268	505,838	56.4%	
BEACH MAINTENANCE	146,160	51,850	15,754	78,557	46.3%	
<i>Total</i>	12,694,768	6,400,905	304,191	5,989,672	52.8%	6,195,041
<u>Library</u>						
ADMINISTRATION	420,294	199,937	-	220,357	47.6%	
PUBLIC SERVICES	1,822,641	918,332	700	903,609	50.4%	
SUPPORT SERVICES	1,782,752	728,895	119,341	934,517	47.6%	
<i>Total</i>	4,025,687	1,847,163	120,041	2,058,483	48.9%	1,784,991
TOTAL COMMUNITY SERVICES	16,720,455	8,248,068	424,232	8,048,155	51.9%	7,980,031
COMMUNITY DEVELOPMENT						
<u>Community Development</u>						
ADMINISTRATION	456,182	218,493	823	236,866	48.1%	
ECON DEV	52,667	21,357	-	31,310	40.6%	
CITY ARTS ADVISORY PROGRAM	427,260	361,237	-	66,024	84.5%	
HUMAN SVCS	855,862	435,280	344,785	75,796	91.1%	
RDA	715,653	304,184	-	411,469	42.5%	
RDA HSG DEV	611,074	268,223	-	342,851	43.9%	
LR PLANNING/STUDIES	826,558	348,946	15,472	462,139	44.1%	
DEV & DESIGN REVIEW	1,075,206	511,562	16,709	546,935	49.1%	
ZONING	1,245,146	544,678	3,629	696,839	44.0%	
DESIGN REV & HIST PRESERVATN	975,603	452,346	6,335	516,922	47.0%	
BLDG PERMITS	1,048,775	498,108	7,311	543,357	48.2%	
RECORDS & ARCHIVES	529,868	231,730	11,489	286,648	45.9%	
PLAN CK & COUNTER SRV	1,271,905	597,555	482	673,867	47.0%	
<i>Total</i>	10,091,759	4,793,702	407,036	4,891,020	51.5%	4,834,310
TOTAL COMMUNITY DEVELOPMENT	10,091,759	4,793,702	407,036	4,891,020	51.5%	4,834,310
NON-DEPARTMENTAL						
<u>Non-Departmental</u>						
DUES, MEMBERSHIPS, & LICENSES	22,272	-	-	22,272	0.0%	

CITY OF SANTA BARBARA
General Fund
Interim Statement of Appropriations, Expenditures and Encumbrances
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	Annual Budget	YTD Actual	Encum- brances	** Remaining Balance	YTD Expended and Encumbered	Previous YTD
NON-DEPARTMENTAL						
<u>Non-Departmental</u>						
COMMUNITY PROMOTIONS	1,536,799	903,078	-	633,721	58.8%	
SPECIAL PROJECTS	381,073	148,669	-	232,404	39.0%	
TRANSFERS OUT	43,500	21,750	-	21,750	50.0%	
DEBT SERVICE TRANSFERS	349,983	312,615	-	37,368	89.3%	
CAPITAL OUTLAY TRANSFER	665,457	405,954	-	259,503	61.0%	
APPROP. RESERVE	414,429	-	-	414,429	0.0%	
<i>Total</i>	3,413,513	1,793,759	-	1,619,754	52.5%	1,605,563
TOTAL NON-DEPARTMENTAL	3,413,513	1,793,759	-	1,619,754	52.5%	1,605,563
TOTAL EXPENDITURES	103,582,186	50,373,720	1,667,627	51,540,840	50.2%	49,460,481

*** The legal level of budgetary control is at the department level for the General Fund. Therefore, as long as the department as a whole is within budget, budgetary compliance has been achieved. The City actively monitors the budget status of each department and takes measures to address potential over budget situations before they occur.*

For Enterprise and Internal Service Funds, the legal level of budgetary control is at the fund level. The City also monitors and addresses these fund types for potential over budget situations.

CITY OF SANTA BARBARA
Special Revenue Funds
Interim Statement of Revenues and Expenditures
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

	Annual Budget	YTD Actual	Encum- brances	Remaining Balance	Percent of Budget
TRAFFIC SAFETY FUND					
Revenue	515,000	235,093	-	279,907	45.6%
Expenditures	515,000	235,093	-	279,907	45.6%
<i>Revenue Less Expenditures</i>	-	-	-	-	
CREEK RESTORATION/WATER QUALITY IMPRVMT					
Revenue	2,800,800	1,679,010	-	1,121,790	59.9%
Expenditures	3,545,725	1,374,054	475,165	1,696,506	52.2%
<i>Revenue Less Expenditures</i>	(744,925)	304,957	(475,165)	(574,717)	
SOLID WASTE PROGRAM					
Revenue	18,331,232	8,793,600	-	9,537,632	48.0%
Expenditures	19,129,869	8,953,307	448,470	9,728,092	49.1%
<i>Revenue Less Expenditures</i>	(798,637)	(159,707)	(448,470)	(190,460)	
COMM.DEVELOPMENT BLOCK GRANT					
Revenue	2,730,423	244,300	-	2,486,124	8.9%
Expenditures	2,730,423	1,135,061	307,859	1,287,503	52.8%
<i>Revenue Less Expenditures</i>	-	(890,761)	(307,859)	1,198,620	
COUNTY LIBRARY					
Revenue	1,858,999	611,098	-	1,247,901	32.9%
Expenditures	1,972,766	895,327	91,089	986,350	50.0%
<i>Revenue Less Expenditures</i>	(113,767)	(284,229)	(91,089)	261,551	
STREETS FUND					
Revenue	10,598,577	5,518,995	-	5,079,582	52.1%
Expenditures	14,646,871	5,469,465	1,874,818	7,302,589	50.1%
<i>Revenue Less Expenditures</i>	(4,048,294)	49,530	(1,874,818)	(2,223,007)	
MEASURE A					
Revenue	2,774,034	1,206,399	-	1,567,635	43.5%
Expenditures	3,335,145	1,279,191	1,081,333	974,621	70.8%
<i>Revenue Less Expenditures</i>	(561,111)	(72,792)	(1,081,333)	593,014	

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

WATER OPERATING FUND

	Annual Budget	YTD Actual	Encum- brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Water Sales - Metered	30,700,000	16,137,605	-	14,562,395	52.6%	15,224,621
Service Charges	450,192	352,246	-	97,946	78.2%	489,285
Cater JPA Treatment Charges	2,619,000	1,157,140	-	1,461,860	44.2%	1,699,736
Investment Income	791,800	354,101	-	437,699	44.7%	527,791
Miscellaneous	604,691	268,218	-	336,473	44.4%	494,745
Operating Transfers-In	505,502	252,751	-	252,751	50.0%	-
TOTAL REVENUES	35,671,185	18,522,061	-	17,149,124	51.9%	18,436,179
EXPENSES						
Salaries & Benefits	7,649,148	3,581,491	-	4,067,657	46.8%	3,493,361
Materials, Supplies & Services	9,996,116	3,200,121	2,324,019	4,471,975	55.3%	3,599,999
Special Projects	1,438,061	192,298	161,373	1,084,391	24.6%	140,144
Water Purchases	7,723,468	3,687,292	336,393	3,699,783	52.1%	3,209,238
Debt Service	4,831,189	2,701,850	-	2,129,339	55.9%	2,618,931
Capital Outlay Transfers	11,284,416	5,642,208	-	5,642,208	50.0%	1,674,851
Equipment	195,427	51,612	338	143,476	26.6%	50,979
Capitalized Fixed Assets	124,200	8,190	22,729	93,281	24.9%	6,285
Other	55,000	25,940	-	29,060	47.2%	26,343
Appropriated Reserve	150,000	-	-	150,000	0.0%	-
TOTAL EXPENSES	43,447,024	19,091,003	2,844,852	21,511,169	50.5%	14,820,132

NOTE - These figures reflect the operating fund only. Though the capital fund is excluded, the current year contribution from the operating fund is shown in the Capital Transfers.

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

WASTEWATER OPERATING FUND

	Annual Budget	YTD Actual	Encum- brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Service Charges	14,926,192	7,537,371	-	7,388,821	50.5%	7,082,869
Fees	493,222	287,962	-	205,260	58.4%	474,438
Investment Income	267,300	113,800	-	153,500	42.6%	152,599
Public Works	10,000	23,476	-	(13,476)	234.8%	18,816
Miscellaneous	25,000	13,868	-	11,132	55.5%	66,905
Operating Transfers-In	674,096	337,048	-	337,048	50.0%	-
TOTAL REVENUES	16,395,810	8,313,526	-	8,082,284	50.7%	7,795,627
EXPENSES						
Salaries & Benefits	5,148,257	2,364,565	-	2,783,692	45.9%	2,418,577
Materials, Supplies & Services	6,045,715	2,768,696	1,582,466	1,694,553	72.0%	2,340,719
Special Projects	100,000	4,104	-	95,896	4.1%	150,802
Debt Service	1,352,213	324,512	-	1,027,701	24.0%	334,388
Capital Outlay Transfers	4,592,559	2,296,280	-	2,296,280	50.0%	3,147,750
Equipment	98,044	22,553	44	75,447	23.0%	16,901
Capitalized Fixed Assets	26,000	868	2,936	22,195	14.6%	33,907
Other	5,000	1,000	-	4,000	20.0%	1,000
Appropriated Reserve	150,000	-	-	150,000	0.0%	-
TOTAL EXPENSES	17,517,788	7,782,578	1,585,446	8,149,763	53.5%	8,444,044

NOTE - These figures reflect the operating fund only. Though the capital fund is excluded, the current year contribution from the operating fund is shown in the Capital Transfers.

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)
DOWNTOWN PARKING

	<u>Annual Budget</u>	<u>YTD Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>	<u>Previous YTD</u>
REVENUES						
Improvement Tax	840,000	461,216	-	378,784	54.9%	440,041
Parking Fees	5,662,166	2,932,469	-	2,729,697	51.8%	2,675,347
Investment Income	137,600	59,841	-	77,759	43.5%	78,767
Rents & Concessions	40,925	-	-	40,925	0.0%	-
Reimbursements	-	-	-	-	100.0%	4,598
Miscellaneous	1,500	228	-	1,272	15.2%	11,981
Operating Transfers-In	353,858	176,929	-	176,929	50.0%	21,750
TOTAL REVENUES	<u>7,036,049</u>	<u>3,630,683</u>	<u>-</u>	<u>3,405,366</u>	<u>51.6%</u>	<u>3,232,485</u>
EXPENSES						
Salaries & Benefits	3,799,707	1,852,901	-	1,946,806	48.8%	1,792,510
Materials, Supplies & Services	1,842,052	775,173	247,925	818,954	55.5%	669,019
Special Projects	574,522	292,375	141,229	140,918	75.5%	84,140
Transfers-Out	297,121	148,560	-	148,561	50.0%	140,811
Capital Outlay Transfers	1,043,270	521,635	-	521,635	50.0%	330,000
Equipment	25,760	1,965	6,400	17,395	32.5%	6,730
TOTAL EXPENSES	<u>7,582,431</u>	<u>3,592,610</u>	<u>395,554</u>	<u>3,594,268</u>	<u>52.6%</u>	<u>3,023,210</u>

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)
AIRPORT OPERATING FUND

	<u>Annual Budget</u>	<u>YTD Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>	<u>Previous YTD</u>
REVENUES						
Leases - Commercial / Industrial	4,171,000	2,167,242	-	2,003,758	52.0%	2,134,602
Leases - Terminal	5,183,033	2,532,033	-	2,651,000	48.9%	2,656,004
Leases - Non-Commerical Aviation	1,361,600	759,114	-	602,486	55.8%	786,090
Leases - Commerical Aviation	3,465,000	1,441,135	-	2,023,865	41.6%	1,144,257
Investment Income	214,300	92,269	-	122,031	43.1%	124,848
Miscellaneous	185,052	230,356	-	(45,304)	124.5%	83,460
Operating Transfers-In	450,503	150,083	-	300,420	33.3%	-
TOTAL REVENUES	<u>15,030,488</u>	<u>7,372,233</u>	<u>-</u>	<u>7,658,255</u>	<u>49.0%</u>	<u>6,929,261</u>
EXPENSES						
Salaries & Benefits	5,001,631	2,437,847	-	2,563,784	48.7%	2,302,198
Materials, Supplies & Services	6,646,161	2,969,271	531,761	3,145,128	52.7%	2,851,624
Special Projects	941,298	372,824	28,695	539,779	42.7%	285,256
Transfers-Out	44,212	22,106	-	22,106	50.0%	15,525
Debt Service	1,113,099	-	-	1,113,099	0.0%	-
Capital Outlay Transfers	1,496,334	822,740	-	673,594	55.0%	275,000
Equipment	129,276	47,538	8,739	72,999	43.5%	14,420
Appropriated Reserve	181,613	-	-	181,613	0.0%	-
TOTAL EXPENSES	<u>15,553,623</u>	<u>6,672,326</u>	<u>569,195</u>	<u>8,312,102</u>	<u>46.6%</u>	<u>5,744,022</u>

NOTE - These figures reflect the operating fund only. Though the capital fund is excluded, the current year contribution from the operating fund is shown in the Capital Transfers.

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

GOLF COURSE FUND

	<u>Annual Budget</u>	<u>YTD Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>	<u>Previous YTD</u>
REVENUES						
Fees & Card Sales	1,640,801	732,107	-	908,694	44.6%	778,588
Investment Income	9,900	5,020	-	4,880	50.7%	7,164
Rents & Concessions	302,322	118,717	-	183,605	39.3%	143,935
Miscellaneous	3,500	149	-	3,351	4.2%	43
Operating Transfers-In	103,623	51,812	-	51,812	50.0%	-
TOTAL REVENUES	<u>2,060,146</u>	<u>907,805</u>	<u>-</u>	<u>1,152,341</u>	<u>44.1%</u>	<u>929,730</u>
EXPENSES						
Salaries & Benefits	1,111,449	538,252	-	573,197	48.4%	538,836
Materials, Supplies & Services	547,478	259,249	107,624	180,606	67.0%	278,290
Special Projects	10,724	-	4,524	6,200	42.2%	-
Debt Service	230,294	159,507	-	70,787	69.3%	157,025
Capital Outlay Transfers	92,036	46,018	-	46,018	50.0%	35,000
Equipment	27,500	1,013	-	26,487	3.7%	2,597
Other	1,014	847	-	167	83.5%	847
Appropriated Reserve	45,375	-	-	45,375	0.0%	-
TOTAL EXPENSES	<u>2,065,870</u>	<u>1,004,885</u>	<u>112,148</u>	<u>948,837</u>	<u>54.1%</u>	<u>1,012,595</u>

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

INTRA-CITY SERVICE FUND

	<u>Annual Budget</u>	<u>YTD Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>	<u>Previous YTD</u>
REVENUES						
Service charges	99,584	49,792	-	49,792	50.0%	-
Work Orders - Bldg Maint.	3,035,446	1,600,990	-	1,434,456	52.7%	1,569,293
Grants	617,472	199,354	-	418,118	32.3%	-
Service Charges	2,032,567	1,016,284	-	1,016,283	50.0%	866,283
Miscellaneous	-	3,441	-	(3,441)	100.0%	147
Operating Transfers-In	334,902	167,451	-	167,451	50.0%	-
TOTAL REVENUES	<u>6,119,971</u>	<u>3,037,312</u>	<u>-</u>	<u>3,082,659</u>	<u>49.6%</u>	<u>2,435,722</u>
EXPENSES						
Salaries & Benefits	3,107,626	1,465,958	-	1,641,668	47.2%	1,372,817
Materials, Supplies & Services	1,104,526	489,391	165,442	449,692	59.3%	457,658
Special Projects	1,320,989	561,580	562,672	196,737	85.1%	384,301
Equipment	15,000	-	1,449	13,551	9.7%	6,290
Capitalized Fixed Assets	574,595	386,377	143,985	44,233	92.3%	11,436
TOTAL EXPENSES	<u>6,122,735</u>	<u>2,903,307</u>	<u>873,548</u>	<u>2,345,880</u>	<u>61.7%</u>	<u>2,232,503</u>

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

FLEET REPLACEMENT FUND

	Annual Budget	YTD Actual	Encum- brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Vehicle Rental Charges	1,805,982	900,597	-	905,385	49.9%	895,713
Investment Income	149,700	67,486	-	82,214	45.1%	87,508
Rents & Concessions	224,401	112,201	-	112,200	50.0%	116,171
Miscellaneous	50,000	46,895	-	3,105	93.8%	19,613
TOTAL REVENUES	2,230,083	1,127,178	-	1,102,905	50.5%	1,119,004
EXPENSES						
Salaries & Benefits	158,537	79,741	-	78,796	50.3%	74,429
Materials, Supplies & Services	2,452	551	-	1,901	22.5%	497
Special Projects	300,000	-	-	300,000	0.0%	-
Capitalized Fixed Assets	1,041,657	260,323	26,169	755,165	27.5%	1,307,710
TOTAL EXPENSES	1,502,646	340,616	26,169	1,135,861	24.4%	1,382,636

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

FLEET MAINTENANCE FUND

	<u>Annual Budget</u>	<u>YTD Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>	<u>Previous YTD</u>
REVENUES						
Vehicle Maintenance Charges	2,371,918	1,185,959	-	1,185,959	50.0%	1,184,709
Miscellaneous	60,000	17,649	-	42,351	29.4%	7,520
Operating Transfers-In	98,805	49,403	-	49,403	50.0%	-
TOTAL REVENUES	<u>2,530,723</u>	<u>1,253,011</u>	<u>-</u>	<u>1,277,712</u>	<u>49.5%</u>	<u>1,192,229</u>
EXPENSES						
Salaries & Benefits	1,147,349	571,459	-	575,890	49.8%	558,700
Materials, Supplies & Services	1,269,663	438,757	219,463	611,444	51.8%	482,954
Special Projects	60,000	9,331	8,468	42,201	29.7%	11,069
Equipment	5,000	-	-	5,000	0.0%	1,653
TOTAL EXPENSES	<u>2,482,012</u>	<u>1,019,547</u>	<u>227,931</u>	<u>1,234,535</u>	<u>50.3%</u>	<u>1,054,376</u>

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

SELF INSURANCE TRUST FUND

	** Annual Budget	YTD Actual	Encum- brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Insurance Premiums	2,547,084	1,273,542	-	1,273,542	50.0%	1,291,875
Workers' Compensation Premiums	2,500,000	1,250,000	-	1,250,000	50.0%	1,321,791
OSH Charges	182,894	-	-	182,894	0.0%	-
Investment Income	161,700	62,417	-	99,283	38.6%	91,529
Reimbursements	-	-	-	-	100.0%	316
Miscellaneous	-	2,110	-	(2,110)	100.0%	4,192
TOTAL REVENUES	5,391,678	2,588,069	-	2,803,609	48.0%	2,709,703
EXPENSES						
Salaries & Benefits	500,761	218,422	-	282,339	43.6%	193,617
Materials, Supplies & Services	4,860,238	2,283,518	241,132	2,335,588	51.9%	2,465,682
Transfers-Out	3,694,328	1,846,975	-	1,847,353	50.0%	717,988
TOTAL EXPENSES	9,055,327	4,348,914	241,132	4,465,281	50.7%	3,377,287

*** The Self Insurance Trust Fund is an internal service fund of the City, which accounts for the cost of providing workers' compensation, property and liability insurance as well as unemployment insurance and certain self-insured employee benefits on a city-wide basis. Internal Service Funds charge other funds for the cost of providing their specific services.*

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

INFORMATION SYSTEMS ICS FUND

	<u>Annual Budget</u>	<u>YTD Actual</u>	<u>Encum- brances</u>	<u>Remaining Balance</u>	<u>Percent of Budget</u>	<u>Previous YTD</u>
REVENUES						
Service charges	2,286,395	1,143,197	-	1,143,198	50.0%	1,145,792
Miscellaneous	-	1,209	-	(1,209)	100.0%	-
Operating Transfers-In	19,740	9,870	-	9,870	50.0%	-
TOTAL REVENUES	<u>2,306,135</u>	<u>1,154,275</u>	<u>-</u>	<u>1,151,860</u>	<u>50.1%</u>	<u>1,145,792</u>
EXPENSES						
Salaries & Benefits	1,502,407	743,545	-	758,862	49.5%	733,352
Materials, Supplies & Services	553,174	365,552	107,148	80,475	85.5%	344,096
Special Projects	3,700	3,171	1,647	(1,118)	130.2%	3,587
Equipment	276,637	66,227	42,640	167,770	39.4%	116,019
Appropriated Reserve	11,432	-	-	11,432	0.0%	-
TOTAL EXPENSES	<u>2,347,350</u>	<u>1,178,495</u>	<u>151,434</u>	<u>1,017,421</u>	<u>56.7%</u>	<u>1,197,053</u>

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Six Months Ended December 31, 2011 (50% of Fiscal Year)

WATERFRONT FUND

	Annual Budget	YTD Actual	Encum- brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Leases - Commercial	1,332,869	802,542	-	530,327	60.2%	740,685
Leases - Food Service	2,352,254	1,370,045	-	982,210	58.2%	1,312,582
Slip Rental Fees	3,998,521	1,981,827	-	2,016,694	49.6%	1,926,129
Visitors Fees	463,000	221,922	-	241,078	47.9%	251,673
Slip Transfer Fees	425,000	299,150	-	125,850	70.4%	189,575
Parking Revenue	1,911,450	1,015,547	-	895,903	53.1%	920,971
Wharf Parking	244,000	120,606	-	123,394	49.4%	111,422
Other Fees & Charges	380,911	192,997	-	187,914	50.7%	197,459
Investment Income	185,859	81,156	-	104,703	43.7%	101,217
Rents & Concessions	301,173	175,441	-	125,732	58.3%	178,565
Grants	-	-	-	-	100.0%	4,256
Miscellaneous	155,000	92,115	-	62,885	59.4%	49,182
Operating Transfers-In	453,481	226,740	-	226,741	50.0%	-
TOTAL REVENUES	12,203,518	6,580,089	-	5,623,429	53.9%	5,983,717
EXPENSES						
Salaries & Benefits	5,461,051	2,746,182	-	2,714,869	50.3%	2,690,298
Materials, Supplies & Services	3,455,120	1,570,805	732,383	1,151,932	66.7%	1,474,018
Special Projects	137,020	38,604	45,000	53,416	61.0%	37,501
Debt Service	1,776,789	1,051,353	-	725,436	59.2%	1,042,388
Capital Outlay Transfers	934,483	467,241	-	467,242	50.0%	484,680
Equipment	117,500	52,884	-	64,616	45.0%	14,342
Other	-	2,540	-	(2,540)	100.0%	2,540
Appropriated Reserve	100,000	-	-	100,000	0.0%	-
TOTAL EXPENSES	11,981,963	5,929,610	777,383	5,274,970	56.0%	5,745,768

NOTE - These figures reflect the operating fund only. Though the capital fund is excluded, the current year contribution from the operating fund is shown in the Capital Transfers.

*Fiscal Year 2012 Interim Financial Statements
For the Six Months Ended December 31, 2011 (50% of Year Elapsed)*

General Fund Revenues

The table below summarizes General Fund revenues for the six months ended December 31, 2011. For interim financial statement purposes, revenues are reported on the cash basis (i.e. when the funds are received). The table below includes the budgeted totals as well as the year-to-date (YTD) budget, which for tax revenues and franchise fees has been seasonally adjusted based on a 3-year average of collections through the same period. Because tax revenues are not collected evenly throughout the year, adjusting the year-to-date budget to reflect the unique collection pattern of each type of tax revenue allows for a more meaningful comparison to year-to-date results. For all other revenues, the Year-to-Date Budget column represents 50% (6 months out of the 12 elapsed) of the annual budget column. Unlike tax revenues, these revenues tend to be collected more evenly throughout the year.

Summary of Revenues For the Six Months Ended December 31, 2011 GENERAL FUND								
	Current Year Analysis					Prior Year Analysis		
	Annual Budget	YTD Budget *	YTD Actual	YTD Variance	YTD Percent Rec'd	3-Year Average Bench- mark	Prior Year YTD Actual	Variance Prior Yr To Current Yr
Sales & Use Tax	\$ 17,949,013	\$ 7,061,142	\$ 7,322,448	\$ 261,306	40.80%	39.34%	\$ 6,749,831	8.5%
Property Tax	23,063,000	8,288,842	8,612,610	323,768	37.34%	35.94%	8,701,723	-1.0%
UUT	7,144,500	3,585,825	3,615,774	29,949	50.61%	50.19%	3,521,932	2.7%
TOT	13,011,452	7,791,257	7,953,158	161,901	61.12%	59.88%	7,261,448	9.5%
Bus License	2,229,800	925,144	904,302	(20,842)	40.56%	41.49%	944,434	-4.2%
Prop Trans Tax	410,000	222,630	182,062	(40,568)	44.41%	54.30%	204,871	-11.1%
Total Taxes	63,807,765	27,874,840	28,590,354	715,514	44.81%	43.69%	27,384,239	4.4%
License & Permits	182,900	91,450	109,943	18,493	60.11%	50.00%	73,076	50.5%
Fines & Forfeitures	2,927,016	1,463,508	1,409,832	(53,676)	48.17%	50.00%	1,483,768	-5.0%
Franchise Fee	3,593,200	1,754,560	1,659,224	(95,336)	46.18%	48.83%	1,670,255	-0.7%
Use of Money & Property	1,138,779	569,390	503,342	(66,048)	44.20%	50.00%	649,000	-22.4%
Intergovernmental	702,650	351,325	97,567	(253,758)	13.89%	50.00%	467,697	-79.1%
Fee & Charges	20,348,725	10,174,363	9,703,910	(470,453)	47.69%	50.00%	9,431,012	2.9%
Miscellaneous	9,354,486	4,677,243	4,805,444	128,201	51.37%	50.00%	4,685,196	2.6%
Total Other	38,247,756	19,081,838	18,289,263	(792,575)	47.82%		18,460,006	-0.9%
Total Before Budgeted Variances	102,055,521	46,956,678	46,879,617	(77,061)			45,844,245	
Anticipated Year-End Var	1,200,000	600,000	-	(600,000)	0.00%	50.00%	-	0.0%
Total Revenues	\$ 103,255,521	\$ 47,556,678	\$ 46,879,617	\$ (677,061)	45.40%	46.06%	\$ 45,844,245	

* YTD Budget for Taxes is calculated based on a 3-year average of collections for each revenue source; for all other revenues, YTD Budget is calculated on a straight-line basis based on the number of months elapsed.

*Fiscal Year 2012 Interim Financial Statements
For the Six Months Ended December 31, 2011 (50% of Year Elapsed)*

The local economy is improving, and cash receipts of major tax revenues are ahead of the 3-year average collection rate at mid-year. Key revenues and significant variances are discussed below.

Sales and Use Taxes

Sales tax revenue for the first quarter was about \$261,000 above the YTD budget on a cash basis. However, while representing two quarterly payments year-to-date, the revenues received through December 31, 2011 provide information for the growth in sales tax revenues earned for the quarter ended September 30, 2011. These revenues were 8.4% over those from the prior September. The most growth was seen in apparel stores, restaurants, department stores, and service stations.

Property Tax

Property tax revenue was about \$324,000 above the YTD budget at December 31. However, this appears to be due to the timing of receipts in relation to prior years. In general, the real estate market is still struggling and for this reason we do not expect to see significant increases to property values for a few years. Based on current projections, revenues are projected to be \$47,000 below the adopted budget.

Transient Occupancy Tax

TOT revenue was \$161,900 above the YTD budget at December 31, and 9.1% higher than the same six-month period in the prior year. The year-to-date growth is above normal growth rates realized since fiscal year 2002. This type of performance is consistent with regional lodging industry data related to increased occupancies and room rates. Projections for the rest of year are somewhat moderated; however, staff projects revenues will be \$386,000 above the amended TOT budget.

Intergovernmental

Intergovernmental revenue is approximately \$254,000 below the YTD Budget. Part of the variance is attributed to mutual aid reimbursements being lower than projected. These revenues are generated when the Fire Department provides mutual aid assistance to other locations throughout the state; the City is reimbursed for actual costs plus an overhead factor. The Fire Department budgeted \$400,000 in reimbursements, and is projecting a shortfall of \$200,000 by year-end.

Another factor negatively impacting intergovernmental revenues is the elimination of Motor Vehicle License Fees (MVLFF). As part of the state's budget balancing plan for FY 2011-12, the Governor signed SB 89, which shifted MVLFF previously allocated to cities and counties to the State, in order for the state to fund law enforcement grants. As a result, the City's revenue projection for MVLFF of \$200,000 will not be realized.

Fees & Service Charges

Overall, fees and service charges are about \$470,000 under the YTD budget. The table on the next page provides more details on fees and service charges by Department. The more significant mid-year variances are also discussed.

***Fiscal Year 2012 Interim Financial Statements
For the Six Months Ended December 31, 2011 (50% of Year Elapsed)***

Fees and Service Charges General Fund For the Six Months Ended December 31, 2011								
Department	Annual Budget	YTD Budget	YTD Actual	Budget Variance	Percent Received YTD	Prior Year YTD	Prior Year Variance	Percent Variance
Finance	\$ 860,000	\$ 430,000	\$ 418,008	\$ (11,992)	48.6%	\$ 424,515	\$ (6,507)	-1.5%
Community Development	4,525,570	2,262,785	2,123,498	(139,287)	46.9%	2,163,276	(39,778)	-1.8%
Parks & Recreation	2,274,257	1,137,129	1,100,908	(36,221)	48.4%	1,010,553	90,355	8.9%
Public Safety	499,673	249,837	284,027	34,191	56.8%	206,516	77,511	37.5%
Public Works	5,286,083	2,643,042	2,512,613	(130,429)	47.5%	2,502,944	9,669	0.4%
Library	675,575	337,788	340,574	2,787	50.4%	367,447	(26,873)	-7.3%
Inter-Fund Charges	6,227,567	3,113,784	2,924,282	(189,502)	47.0%	2,755,760	168,522	6.1%
Total	\$ 20,348,725	\$ 10,174,363	\$ 9,703,910	\$ (470,453)	47.7%	\$ 9,431,012	\$ 272,898	2.9%

Community Development revenues are \$139,000 below the YTD budget. However, it is anticipated the revenue projections will be realized due to building permit activity for the Valle Verde project that will occur in the second half of the fiscal year.

Public Works fee revenue was about \$130,000 under the YTD budget. Staff projected an upswing in permit activity for the current year, which has not materialized. Additionally, engineering work orders pertaining to capital projects have not met expectations through December 31.

Inter-Fund charges are \$190,000 below the YTD budget at mid-year. These are reimbursements from other City funds and departments, and other governments for various services. The majority of the variance is related to cost reimbursements from the Redevelopment Agency (RDA). Salary & benefits costs in the RDA are lower than budgeted primarily due to position vacancies. With lower costs incurred to manage RDA operations, reimbursement revenues from the RDA to the General Fund are proportionately lower.

Anticipated Year-End Variances and Budgeted Savings from Concessions

It is important to note that the table on page 1 includes \$1,200,000 in budgeted revenue variances through December 31, 2011 associated with anticipated year-end savings. The Anticipated Year-End Variance is roughly equal to 1.2% of budgeted operating expenditures in the General Fund and represents what staff projected in favorable expenditure variances (i.e. expenditures *under* budget) for the year. As is the case each year, the Anticipated Year-End Variance budgeted will not reflect any actual revenues, but rather favorable variances in expenditures by year-end.

General Fund Expenditures

The table below summarizes the General Fund budget and year-to-date expenditures through December 31, 2011. The “Adjusted Annual Budget” column represents the adopted budget, appropriation carryovers from the prior year, and any supplemental appropriations approved by Council in the current year.

***Fiscal Year 2012 Interim Financial Statements
For the Six Months Ended December 31, 2011 (50% of Year Elapsed)***

As shown below, a year-to-date budget (labeled "YTD Budget") column is included. This column has been seasonally adjusted based on a 3-year average of expenditures, in order to adjust for the seasonal nature of certain expenditures, such as debt service and summer recreation programs. The table includes actual expenditures without encumbrances, and another column for the variance after considering encumbrances. Inclusion of encumbrances can significantly distort the analysis of budgeted and actual expenditures after six months. Outstanding encumbrances include appropriations that were carried forward from prior year as part of the appropriation carryovers, and contracts or blanket purchase orders that have been added in the current year but are expected to be spent over the coming months. The following discussion and analysis does not include the impact of encumbrances.

The year-to-date budget of \$50.6 million at December 31, compared to actual expenditures of \$50.4 million, resulted in a slight variance of \$0.2 million. Significant variances in departments are discussed below.

SUMMARY OF EXPENDITURES GENERAL FUND For the Six Months Ended December 31, 2011							
Department	Adjusted Annual Budget	YTD Budget	YTD Actual	YTD Variance Without Encumbrance	Encum- brance	YTD Variance With Encumb Favorable (Unfavorable)	
						\$	%
Mayor & Council	\$ 725,196	\$ 347,514	\$ 342,891	\$ 4,623	\$ 977	\$ 3,646	0.5%
City Attorney	1,930,640	965,899	969,539	(3,640)	-	(3,640)	-0.2%
City Administrator	1,923,509	947,905	914,716	33,189	41,534	(8,345)	-0.4%
Administrative Svs.	1,947,674	887,166	837,405	49,761	213,583	(163,822)	-8.4%
Finance	4,392,750	2,114,231	2,068,248	45,983	47,200	(1,217)	0.0%
Police	34,525,743	17,135,126	17,051,606	83,520	252,797	(169,277)	-0.5%
Fire	21,086,991	10,490,778	10,278,440	212,338	95,949	116,389	0.6%
Public Works	6,823,956	3,169,728	3,075,345	97,524	184,319	(89,936)	-1.3%
Parks & Recreation	12,694,768	6,266,137	6,400,905	(134,768)	304,191	(438,959)	-3.5%
Library	4,025,687	1,816,390	1,847,163	(30,773)	120,041	(150,814)	-3.7%
Community Development	10,091,759	4,834,962	4,793,702	41,259	407,036	(365,777)	-3.6%
Community Promotion	3,413,513	1,634,049	1,793,759	(159,711)	-	(159,711)	-4.7%
Total	<u>\$ 103,582,186</u>	<u>\$ 50,609,884</u>	<u>\$ 50,373,720</u>	<u>\$ 239,306</u>	<u>\$ 1,667,627</u>	<u>\$ (1,431,463)</u>	-1.4%
% of annual budget		48.9%	48.6%	0.2%	1.6%	-1.4%	

City Attorney expenditures are slightly over the YTD budget; although not significantly higher, the variance has resulted in additional funding needs of \$20,000. The department budget includes appropriations for online legal research services, law library updates, and other such legal publications. Due to substantial increases in subscription charges for these services, expenditures will exceed budget. The appropriations request also includes additional funding for paralegal support for work on the gang injunction litigation.

*Fiscal Year 2012 Interim Financial Statements
For the Six Months Ended December 31, 2011 (50% of Year Elapsed)*

Police Department expenditures are under the YTD budget by \$83,000 mostly due to savings in personnel costs. The Department has experienced a number of position vacancies and personnel out on military leave and long term disability, which accounts for the positive variance.

Fire Department expenditures are under the YTD budget by about \$212,000. The variance is due to savings in personnel costs realized from vacant positions due to employee retirements. Although these vacancies have led to higher overtime costs, since current sworn personnel must backfill vacant positions to maintain constant staffing requirements, staff anticipates the approved budget for overtime will provide sufficient funding through the end of the year.

Public Works expenditures are under the YTD budget by almost \$98,000. The Land Development and Engineering divisions have experienced position vacancies and employee absences due to long-term illnesses, accounting for the majority of the variance.

Parks and Recreation expenditures are over the YTD budget by about \$135,000. The variance is due to equipment purchases for the Carrillo Recreation Center that have been fully expended; thereby front loading the budget in the first six months. It is anticipated expenditures will be within budget by year-end.

Community Promotion expenditures are over the YTD budget by \$160,000. The variance is due to capital outlay transfers recorded in December to provide additional funding to capital projects, thereby front loading the budget in the first six months.

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Enterprise Fund Revenues and Expenses

Unlike the General Fund, which relies primarily on taxes to subsidize programs and services, Enterprise Fund operations are financed primarily from user fees and other non-tax revenues. The table below summarizes Enterprise Fund revenues and expenses through December 31, 2011, with a comparison to the current year budget and prior year expenses through the first six months. Note that the "YTD Budget" column has been calculated based on a 3-year average collection rate through December 31st. This rate, which is shown as a percentage in the "3 Year Average" column, has been applied to the annual budget amount to arrive at the Year-to-Date Budget. This approach is used in recognition that enterprise fund revenues and certain expenses are seasonally affected and are not necessarily received or incurred evenly throughout the year.

SUMMARY OF REVENUES & EXPENSES Six Months Ended December 31, 2011 ENTERPRISE FUNDS								
	Current Year Analysis						Prior Year Analysis	
	Annual Budget	YTD Budget *	YTD Actual	YTD Variance	YTD Percent	3 Year Average	YTD Actual	% Variance
Water Fund								
Revenues	\$ 35,671,185	\$ 19,041,279	\$ 18,522,061	\$ (519,218)	51.9%	53.4%	\$ 18,436,179	0.5%
Expenses	43,447,024	19,581,574	19,091,003	490,571	43.9%	45.1%	14,820,132	28.8%
Wastewater Fund								
Revenues	16,395,810	8,386,457	8,313,526	(72,931)	50.7%	51.2%	7,795,627	6.6%
Expenses	17,517,788	8,105,481	7,782,578	322,903	44.4%	46.3%	8,444,044	-7.8%
Downtown Parking Fund								
Revenues	7,036,049	3,527,171	3,630,683	103,512	51.6%	50.1%	3,232,485	12.3%
Expenses	7,582,431	3,544,786	3,592,610	(47,824)	47.4%	46.8%	3,023,210	18.8%
Airport Fund								
Revenues	15,030,488	7,748,217	7,372,233	(375,984)	49.0%	51.6%	6,929,261	6.4%
Expenses	15,553,623	7,056,679	6,672,326	384,353	42.9%	45.4%	5,744,022	16.2%
Golf Fund								
Revenues	2,060,146	870,618	907,805	37,187	44.1%	42.3%	929,730	-2.4%
Expenses	2,065,870	1,074,046	1,004,885	69,161	48.6%	52.0%	1,012,595	-0.8%
Waterfront Fund								
Revenues	12,203,518	6,450,780	6,580,089	129,309	53.9%	52.9%	5,983,717	10.0%
Expenses	11,981,963	6,055,684	5,929,610	126,074	49.5%	50.5%	5,745,768	3.2%

* The YTD Budget column has been calculated based on a 3-year average of collections for revenues, and of payments made for expenses through December 31, which has been applied to the annual budget.

*Fiscal Year 2012 Interim Financial Statements
For the Six Months Ended December 31, 2011 (50% of Year Elapsed)*

The expenses shown in the preceding table do not include outstanding encumbrances at December 31, 2011. Inclusion of encumbrances can significantly distort the analysis of budgeted and actual expenditures after six months. Outstanding encumbrances include appropriations that were carried forward from prior year as part of the appropriation carryovers and contracts or blanket purchase orders that have been added in the current year but are expected to be spent over the coming months.

The following discussion highlights some of the more significant revenue and expense variances of the enterprise funds, in relation to budget or prior year.

Water Fund

Water Fund revenues were approximately \$519,000 below the year-to-date budget as of December 31. The variance is due to water sales revenue being lower than projected as a result of demand being 5% lower than anticipated during the first half of the year. Staff will continue to monitor revenues over the next several months.

Expenses for the Water Fund are under the YTD budget by \$490,000. The variance is due to lower expenses for water treatment chemicals and supplies, as well as repairs and maintenance. In addition, water production costs are also lower than budgeted. Staff projects expenditure savings will offset a large portion of the projected revenue shortfalls.

Wastewater Fund

Wastewater Fund revenues are in line with the YTD budget. Wastewater Fund expenses are slightly below the YTD budget due to lower materials and supplies expenses in the first half of the year, which are projected to be expended by year-end. As a result of the Channel Keeper litigation, legal expenses are projected to be over budget; staff is requesting additional appropriations of \$150,000 to cover those costs.

Downtown Parking

Downtown Parking Fund revenues are reporting a positive variance. Most of the variance is due to the success of monthly permits at the Granada Garage, generating higher monthly parking fee revenue than projected. Expenses are in line with the approved budget.

Airport Fund

Airport Fund revenues are about \$376,000 below the YTD budget at December 31. Passenger traffic has decreased 7% from the same period last year, resulting in lower parking revenues. However, a rate adjustment for long-term parking was implemented on February 1, and should lessen the impact of reduced passenger traffic.

Airport expenses are below the YTD budget. Salary and benefits are lower than budget due to position vacancies in Patrol, Marketing, and Maintenance. In addition, supplies and services for the new terminal building have been spent at lower levels than anticipated.

Golf Fund

Over the last several years, the Golf Course has seen a decline in revenue and rounds due to a national downtrend in the sport of golf. For the first six months of the current year, Golf Fund

*Fiscal Year 2012 Interim Financial Statements
For the Six Months Ended December 31, 2011 (50% of Year Elapsed)*

revenues have improved due to good golf course conditions and favorable weather. Despite increased activity, staff is projecting a revenue shortfall of about \$158,000.

Golf Fund expenses were slightly below the YTD budget at December 31st. Staff anticipates expenditure savings from unfilled positions, and by deferring certain purchases budgeted in the current year. By realizing these budget savings, most of the revenue shortfall will be offset.

Waterfront Fund

Waterfront Fund revenues are slightly above the YTD budget. Some of the positive variance is due to parking revenue at the Harbor West lot being 38% higher than the prior year due to the installation of self-pay parking stations that accept credit cards. In addition, Marina management revenue is also higher due to an increase in slip transfers. As for expenses, they are on track to stay within the approved budget.

City of Santa Barbara
Interim Financial Statements for the Six Months Ended December 31, 2011
Proposed Mid-Year Adjustments

	<u>Increase (Decrease) in Appropriations</u>	<u>Increase (Decrease) in Estimated Revenues</u>	<u>Addition to (Use of) Fund Balance</u>
GENERAL FUND			
Intergovernmental Revenues			
Motor Vehicle License Fees	\$ -	\$ (200,000)	\$ (200,000)
City Attorney			
Publications- legal publications/law library updates	10,000	-	(10,000)
Professional services- paralegal support	10,000	-	(10,000)
Total General Fund	<u>\$ 20,000</u>	<u>\$ (200,000)</u>	<u>\$ (220,000)</u>
SPECIAL REVENUE FUNDS			
Police- Supplemental Law Enforcement Fund			
COPS/SLESF grant funds	\$ -	\$ 44,188	\$ 44,188
Salary and Benefits	44,188	-	(44,188)
Total Police- Supplemental Law Enforcement Fund	<u>\$ 44,188</u>	<u>\$ 44,188</u>	<u>\$ -</u>
County Library Fund			
Book Acquisition - Small Branches	\$ 48,349	\$ -	\$ (48,349)
Donations - Small Branches	-	48,349	48,349
Book Acquisition - Goleta Branch	37,421	-	(37,421)
Donations - Goleta Branch	-	37,421	37,421
Total County Library Fund	<u>\$ 85,770</u>	<u>\$ 85,770</u>	<u>\$ -</u>
Streets Grant Capital Fund			
Adjust Project Budgets per Grant Awards:			
Cabrillo at Mission Creek Bridge	\$ 160,000	\$ 160,000	\$ -
Cota Street Bridge/Mission Creek Replacement	177,060	177,060	-
Ortega Bridge at Mission Creek	141,629	141,629	-
Mason Street Bridge Replacement	510,818	510,818	-
Chapala Yanonali Bridge Seismic Project	177,060	177,060	-
Total Streets Grant Capital	<u>\$ 1,166,567</u>	<u>\$ 1,166,567</u>	<u>\$ -</u>
ENTERPRISE FUNDS			
Water Funds			
Transfer from Water Capital Fund to Cater Impr. Project Fund	\$ 395,353	\$ 395,353	\$ -
Transfer from Cater Impr. Project Fund to Water Operating Fund	2,496,631	2,496,631	-
Total Water Funds	<u>\$ 2,891,984</u>	<u>\$ 2,891,984</u>	<u>\$ -</u>
Airport Capital Fund			
New Projects and Additional Funding Requirements:			
Goleta Sanitary District Upgrade	\$ 767,000	\$ -	\$ (767,000)
Goleta Slough Mitigation	551,341	-	(551,341)
Airline Terminal Improvement	538,724	-	(538,724)
Parking Lot Kiosk	120,000	-	(120,000)
Parking Lot Kiosk Equipment	250,000	-	(250,000)
Building Demolition	130,000	-	(130,000)
Total Airport Capital Fund	<u>\$ 2,357,065</u>	<u>\$ -</u>	<u>\$ (2,357,065)</u>
Wastewater Fund			
Legal Services- Channelkeeper Litigation	\$ 150,000	\$ -	\$ (150,000)
INTERNAL SERVICE FUNDS			
Intra-City Services Fund			
Dwight Murphy Sports Lighting Project	\$ 200,000	\$ -	\$ (200,000)



Agenda Item No. _____
File Code No.

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012
TO: Mayor and Councilmembers
FROM: Library Administration, Library
SUBJECT: Re-Opening Eastside Library On Mondays

RECOMMENDATION: That Council:

- A. Consider a request from Councilmembers Murillo and White to approve funding to keep the Eastside Library open on Monday afternoons for the remainder of Fiscal Year 2012 and consider funding Monday hours at the Eastside Library in Fiscal Year 2013; and,
- B. If approved by Council, authorize an increase in appropriation of \$6,800 to the General Fund Library Department's Fiscal Year 2012 budget, funded from an increase to estimated transient occupancy tax revenues, to cover the increase costs.

DISCUSSION:

Due to budget reductions, the Eastside Library has been closed on Mondays since July 2010. A request was received from Councilmembers Murillo and White to approve funding to keep the Eastside Library open on Monday afternoons for the remainder of Fiscal Year 2012 and consider funding Monday hours at the Eastside Library in Fiscal Year 2013.

BUDGET/FINANCIAL INFORMATION:

The cost for adjusting the schedule of the Eastside Library to include six days of operation (Monday – Saturday) is \$6,800 for the remainder of Fiscal Year 2012. If approved by Council, staff recommends funding the current year cost of \$6,800 from an increase in estimated transient occupancy tax revenues. Staff could propose restoring Monday hours as part of the development of the Fiscal Year 2013 budget.

ATTACHMENT: Request from Councilmembers Bendy White and Cathy Murillo

PREPARED BY: Scott Love, Library Services Manager

SUBMITTED BY: Irene Macias, Library Director

APPROVED BY: City Administrator's Office



City of Santa Barbara
Mayor and Council Office

Memorandum

DATE:

TO: James L. Armstrong, City Administrator

FROM: Bendy White
Cathy Murillo

Two handwritten signatures are present. The top one is in cursive and appears to read "Bendy White". The bottom one is also in cursive and appears to read "Cathy Murillo".

SUBJECT: Eastside Library

- Summary of information to be presented to the City Council:

As one of the City's cost-cutting measures, the Eastside Library has been closed on Mondays for the last two years. While helping to balance the budget, the library closing causes a significant hardship in the Eastside community. People of all ages not only use the Eastside library for checking out books, reading and studying, but also rely on its eighteen computers for a variety of needs. Many neighborhood residents have no other access to a computer or to the internet.

Using predominantly hourly staff, the library could remain open Monday afternoons at a cost of about \$1,700 per month.

- Statement of specific action the Council will be asked to take:

- We request that the Council approve funding to keep the Eastside library open on Monday afternoons for the remainder of fiscal 2011-12.
- We also ask that Council consider funding Monday hours at the Eastside Library in its review of the 2012-13 budget.

- Statement of the reasons that it is appropriate and within the jurisdiction of the Council to consider this matter and to take the requested action:

Funding the Eastside library on Monday afternoons is a reasonable and prudent action for Council to take at this time, as General Fund revenues are roughly \$1.5 million ahead of projections. This action would consume less than \$9,000 of that unanticipated revenue.

Jim Armstrong, City Administrator
Eastside Library
January 30, 2012
Page 2

The library is a critical Eastside resource, serving as a constructive after-school activity for youth and families. In addition, residents of all ages use the computers and internet for a variety of important purposes such as job-hunting, resume writing, letters, emails and research projects, including homework. Having the Eastside Library available to residents on Mondays would be a positive, reasonable and greatly appreciated investment in the Eastside neighborhood.



CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012

TO: Mayor and Councilmembers

FROM: City Attorney's Office

SUBJECT: Conference With Legal Counsel – Pending Litigation

RECOMMENDATION:

That Council hold a closed session to consider pending litigation pursuant to subsection (a) of section 54956.9 of the Government Code and take appropriate action as needed.

The pending litigation is *Luke Brost as Trustee for the Luke Brost Living Trust, et al., v. City of Santa Barbara, Case No. 1342979.*

SCHEDULING: Duration, 15 minutes; anytime

REPORT: None anticipated

SUBMITTED BY: Stephen P. Wiley, City Attorney

APPROVED BY: City Administrator's Office



CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: February 14, 2012

TO: Mayor and Councilmembers

FROM: City Attorney's Office

SUBJECT: Conference With Legal Counsel – Pending Litigation

RECOMMENDATION:

That Council hold a closed session to consider pending litigation pursuant to subsection (a) of section 54956.9 of the Government Code and take appropriate action as needed.

The pending litigation is *Santa Barbara Channelkeeper v. City of Santa Barbara*, USDC Case No. CV-1103624 JHN (AGRx).

SCHEDULING:

Duration: 15 minutes - Anytime

REPORT:

None anticipated

SUBMITTED BY: Stephen P. Wiley, City Attorney

APPROVED BY: City Administrator's Office