CITY OF SANTA BARBARA
CITY COUNCIL
REDEVELOPMENT AGENCY

Marty Blum
Mayor/Chair
Dale Francisco
Mayor Pro Tempore/Vice Chair
Das Williams
Ordinance Committee Chair
Roger L. Horton
Finance Committee Chair
Iya G. Falcone
Grant House
Helene Schneider

James L. Armstrong
City Administrator/
Executive Director

Stephen P. Wiley
City Attorney/Agency Counsel

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

DECEMBER 15, 2009
AGENDA

ORDER OF BUSINESS: Regular meetings of the Finance Committee and the Ordinance Committee begin at 12:30 p.m. The regular City Council and Redevelopment Agency meetings begin 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 Council/Redevelopment Agency 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 Council/Redevelopment Agency meeting, and at the beginning of each special Council/Redevelopment Agency meeting, any member of the public may address them concerning any item not on the Council/Redevelopment Agency 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 Council/Redevelopment Agency. Should Council/Redevelopment Agency business continue into the evening session of a regular Council/Redevelopment Agency meeting at 6:00 p.m., the Council/Redevelopment Agency 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 Council/Redevelopment Agency, 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 Council/Redevelopment Agency 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 Council/Redevelopment Agency.

CONSENT CALENDAR: The Consent Calendar is comprised of items that will not usually require discussion by the Council/ Redevelopment Agency. A Consent Calendar item is open for discussion by the Council/Redevelopment Agency upon request of a Council/Agency Member, 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/Redevelopment Agency 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 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

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

SPECIAL FINANCE COMMITTEE MEETING - 12:00 NOON IN THE DAVID GEBHARD PUBLIC MEETING ROOM, 630 GARDEN STREET (120.03)

1. Subject: Redevelopment Agency Fiscal Year 2010 Interim Financial Statements For The Four Months Ended October 31, 2009

Recommendation: That the Finance Committee recommend that the Redevelopment Agency Board accept the Redevelopment Agency Fiscal Year 2010 Interim Financial Statements for the Four Months Ended October 31, 2009.

(See Council/Redevelopment Agency Agenda Item No. 15)

2. Subject: Fiscal Year 2010 Interim Financial Statements For The Four Months Ended October 31, 2009

Recommendation: That the Finance Committee recommend that Council accept the Fiscal Year 2010 Interim Financial Statements for the Four Months Ended October 31, 2009.

(See Council/Redevelopment Agency Agenda Item No. 2)

3. Subject: November 2009 Investment Report

Recommendation: That the Finance Committee recommend that Council accept the November 2009 Investment Report.

(See Council/Redevelopment Agency Agenda Item No. 3)

4. Subject: Comprehensive Annual Financial Report (CAFR) For The Fiscal Year Ended June 30, 2009

Recommendation: That the Finance Committee:

A. Receive a report from staff on the Comprehensive Annual Financial Report for the fiscal year ended June 30, 2009; and

B. Accept the Comprehensive Annual Financial Report for the fiscal year ended June 30, 2009.

(See Council/Redevelopment Agency Agenda Item No. 21)

REGULAR CITY COUNCIL MEETING – 2:00 P.M.
REGULAR REDEVELOPMENT AGENCY 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 adjourned regular meeting of October 12, and the regular meetings of October 13, and November 10, 2009.

2. Subject: Fiscal Year 2010 Interim Financial Statements For The Four Months Ended October 31, 2009 (250.02)

Recommendation: That Council accept the Fiscal Year 2010 Interim Financial Statements for the Four Months Ended October 31, 2009.

3. Subject: November 2009 Investment Report (260.02)

Recommendation: That Council accept the November 2009 Investment Report.

CONSENT CALENDAR (CONT'D)

CITY COUNCIL (CONT'D)

4. Subject: Adoption Of Ordinance For Tree Preservation And Landscape Plan Policy Recommendations (570.05)

Recommendation: That Council adopt, by reading of title only, An Ordinance of the Council of the City of Santa Barbara Amending Chapters 15.20 and 15.24 and Title 22 of the Santa Barbara Municipal Code Relating to the Preservation of Trees and the Maintenance of Approved Landscape Plans.

5. Subject: Adoption Of Medical Marijuana Dispensary Suspension Ordinance (520.04)

Recommendation: That Council adopt, by reading of title only, An Ordinance of the Council of the City of Santa Barbara Temporarily Suspending the Opening or Operation of New Medical Marijuana Dispensaries Otherwise Allowed Under Santa Barbara Municipal Code Chapter 28.80 on an Interim Basis.

6. Subject: Proclamation Guidelines Added To Conduct Of Council Meetings Resolution (120.02)

Recommendation: That Council adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Concerning the Conduct of City Council Meetings Commencing January 12, 2010, and Rescinding Resolution No. 05-073.

7. 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. 07-066.

8. Subject: Decision And Findings Resolution For The Approval Of The 226 & 232 Eucalyptus Hill Drive Project (640.07)

Recommendation: That Council adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Regarding the Appeal of the City Planning Commission's Approval of Two Additional Residences for 226 and 232 Eucalyptus Hill Drive Pursuant to the Authority of Santa Barbara Municipal Code Section 28.93.030(E) and the Approval of a Lot Line Adjustment Between the Two Adjacent Applicant Parcels.

CONSENT CALENDAR (CONT'D)

CITY COUNCIL (CONT'D)

9. Subject: Professional Services Contract With URS Corporation For Design And Feasibility Analysis Of A MacKenzie Park Parking Lot Runoff Infiltration Project (540.14)

Recommendation: That Council:

A. Authorize the Parks and Recreation Director to execute a City professional services agreement with URS Corporation in the amount of $56,470 to perform a feasibility study and prepare final design plans and construction specifications for a MacKenzie Park Parking Lot Runoff Infiltration Project; and

B. Authorize the Parks and Recreation Director to increase these services by 10 percent, or $5,647, if necessary in order to cover any cost increases that may result from final design review and construction requirements.

10. Subject: Contract For Water Conservation Technical Evaluation (540.05)

Recommendation: That Council authorize the Public Works Director to negotiate and execute a contract with Maddaus Water Management in a form approved by the City Attorney in the amount of $66,880, for preparation of a water conservation technical evaluation of the City's Water Conservation Program as an element of the City's Long-Term Water Supply Program (LTWSP) update, and authorize the General Services Manager to approve expenditures of up to $6,688 for extra services of Maddaus Water Management that may result from necessary changes in the scope of work.

11. Subject: Contract For Groundwater Modeling Program (540.10)

Recommendation: That Council:

A. Approve a three-year cooperative water resources program between the City and the U.S. Geological Survey (USGS) to update and enhance groundwater models; evaluate the sustainable yield of the City's groundwater resources; and develop decision rules for use in managing supplies from groundwater; and

B. Authorize the Public Works Director to execute annual Joint Funding Agreements with the USGS for Fiscal Years 2010, 2011, and 2012, to implement the three-year program, with the City's portion of the aggregate cost not to exceed $376,925.

CONSENT CALENDAR (CONT'D)

CITY COUNCIL (CONT'D)

12. Subject: Donation Of Firefighting Equipment To The Fire Department By The Santa Barbara Firefighters Alliance (330.05)

Recommendation: That Council accept the donation of rescue and safety equipment from the Santa Barbara Firefighters Alliance to the City of Santa Barbara Fire Department, valued at approximately $30,000.

13. Subject: Set A Date For Public Hearing Regarding Appeal Of Planning Commission Approval For 803 N. Milpas Street (640.07)

Recommendation: That Council:

A. Set the date of January 26, 2010, at 2:00 p.m. for hearing the appeal filed by Rick Feldman of the Planning Commission approval of an application for property owned by 803 N. Milpas Street LLC and located at 803 N. Milpas Street, Assessor's Parcel No. 031-042-028, C-2 Commercial Zone, General Plan Designation: General Commerce. The project proposes a mixed used development consisting of five mixed use residential/commercial condominums, one live/work unit, two residential units, and one commercial condominium. The discretionary applications required for the project are a Tentative Subdivision Map, a Modification, a Development Plan, and Design Review by the Architectural Board of Review; and

B. Set the date of January 25, 2010, at 1:30 p.m. for a site visit to the property located at 803 N. Milpas Street.

REDEVELOPMENT AGENCY

14. Subject: Minutes

Recommendation: That the Redevelopment Agency Board waive the reading and approve the minutes of the special meeting of October 27, 2009.

15. Subject: Redevelopment Agency Fiscal Year 2010 Interim Financial Statements For The Four Months Ended October 31, 2009

Recommendation: That the Redevelopment Agency Board accept the Redevelopment Agency Fiscal Year 2010 Interim Financial Statements for the Four Months Ended October 31, 2009.

CONSENT CALENDAR (CONT'D)

NOTICES

16. The City Clerk has on Thursday, December 10, 2009, 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.

17. The public hearing scheduled for December 15, 2009, at 2:00 p.m. to hear an appeal of the Single Family Design Board's approval for 803 Rametto Lane has been cancelled due to withdrawal of the appeal.

18. Cancellation of the regular City Council meetings of December 22, and December 29, 2009, and the regular City Council and Redevelopment Agency meetings of January 5, 2010.

This concludes the Consent Calendar.

REPORT FROM THE FINANCE COMMITTEE

CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS

COMMUNITY DEVELOPMENT DEPARTMENT

19. Subject: Two-Year Review Of Neighborhood Preservation Ordinance (640.02)

Recommendation: That Council:

A. Review and comment on the attached report, Two-Year Review of Neighborhood Preservation Ordinance/Single Family Design Guidelines Update (NPO Update);

B. Initiate recommended changes with Staff to work with a subcommittee of the Single Family Design Board and the Ordinance Committee; and

C. Direct Staff to return to Council with ordinance and guideline amendments for adoption.

FINANCE DEPARTMENT

20. Subject: Voter Survey Regarding Single-Use Bag Tax (630.01)

Recommendation: That Council consider the recommendation from the Solid Waste Committee to conduct a voter survey about a possible tax on single-use paper and plastic bags applicable to retail establishments over 30,000 square feet and the amount of tax that voters would be willing to pay.

CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS (CONT'D)

FINANCE DEPARTMENT (CONT'D)

21. Subject: Comprehensive Annual Financial Report (CAFR) For The Fiscal Year Ended June 30, 2009 (250.02)

Recommendation: That Council:

A. Receive a report from staff on the Comprehensive Annual Financial Report for the fiscal year ended June 30, 2009; and

B. Accept the Comprehensive Annual Financial Report for the fiscal year ended June 30, 2009.

MAYOR AND COUNCIL REPORTS

22. Subject: Appointments To City Advisory Groups (140.05)

Recommendation: That Council make appointments to the City advisory groups.

COUNCIL AND STAFF COMMUNICATIONS

COUNCILMEMBER COMMITTEE ASSIGNMENT REPORTS

ADJOURNMENT

File Code 120.03

CITY OF SANTA BARBARA

FINANCE COMMITTEE

SPECIAL MEETING AGENDA

DATE: December 15, 2009
TIME: 12:00 Noon
PLACE: David Gebhard Public Meeting Room
630 Garden Street

Roger L. Horton, Chair
Helene Schneider
Iya Falcone

James L. Armstrong
City Administrator

Robert Samario
Interim Finance Director

ITEMS TO BE CONSIDERED:

1. **Subject: Redevelopment Agency Fiscal Year 2010 Interim Financial Statements For The Four Months Ended October 31, 2009**

   Recommendation: That the Finance Committee recommend that the Redevelopment Agency Board accept the Redevelopment Agency Fiscal Year 2010 Interim Financial Statements for the Four Months Ended October 31, 2009.
   (See Council/Redevelopment Agency Agenda Item No. 15)

2. **Subject: Fiscal Year 2010 Interim Financial Statements For The Four Months Ended October 31, 2009**

   Recommendation: That the Finance Committee recommend that Council accept the Fiscal Year 2010 Interim Financial Statements for the Four Months Ended October 31, 2009.
   (See Council/Redevelopment Agency Agenda Item No. 2)

3. **Subject: November 2009 Investment Report**

   Recommendation: That the Finance Committee recommend that Council accept the November 2009 Investment Report.
   (See Council/Redevelopment Agency Agenda Item No. 3)

4. **Subject: Comprehensive Annual Financial Report (CAFR) For The Fiscal Year Ended June 30, 2009**

   Recommendation: That the Finance Committee:
   A. Receive a report from staff on the Comprehensive Annual Financial Report for the fiscal year ended June 30, 2009; and
   B. Accept the Comprehensive Annual Financial Report for the fiscal year ended June 30, 2009.
   (See Council/Redevelopment Agency Agenda Item No. 21)

CITY OF SANTA BARBARA
CITY COUNCIL MINUTES

ADJOURNED REGULAR MEETING
October 12, 2009
1642 AND 1654 CALLE CANON/2418 CALLE MONTILLA

CALL TO ORDER

Mayor Pro Tempore Dale Francisco called the meeting to order at 1:47 p.m.

ROLL CALL

Councilmembers present: Grant House, Helene Schneider, Das Williams, Mayor Pro Tempore Francisco.
Councilmembers absent: Iya G. Falcone, Roger L. Horton, Mayor Marty Blum.
Staff present: Assistant City Administrator Joan M. Kent, City Attorney Stephen P. Wiley.

PUBLIC COMMENT

No one wished to speak.

NOTICES

The City Clerk has on Thursday, October 8, 2009, 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.

SITE VISIT

Subject: 1642 And 1654 Calle Canon/2418 Calle Montilla

Recommendation: That Council make a site visit to the property located at 1642 and 1654 Calle Canon/2418 Calle Montilla, which is the subject of an appeal hearing scheduled for October 13, 2009, at 2:00 p.m.

Documents:

Site plan showing proposed subdivision and aerial photograph of subject property, submitted by Staff.

(Cont'd)

Subject: 1642 And 1654 Calle Canon/2418 Calle Montilla (Cont'd)

Speakers:
Staff: Associate Planner Daniel Gullett.

Discussion:
Staff provided an overview of the location of the existing homes and the proposed subdivision. Council walked the site to view the six proposed lots.

Councilmember Williams left the meeting at 2:10 p.m.

ADJOURNMENT

Mayor Pro Tempore Francisco adjourned the meeting at 2:22 p.m.

SANTA BARBARA CITY COUNCIL

SANTA BARBARA
CITY CLERK'S OFFICE

_____ ATTEST: _____

DALE FRANCISCO
MAYOR PRO TEMPORE

SUSAN TSCHECH, CMC
DEPUTY CITY CLERK

CITY OF SANTA BARBARA
CITY COUNCIL MINUTES

REGULAR MEETING
October 13, 2009
COUNCIL CHAMBER, 735 ANACAPA STREET

CALL TO ORDER

Mayor Marty Blum called the meeting to order at 2:01 p.m. (The Finance Committee met at 1:00 p.m. The Ordinance Committee, which ordinarily meets at 12:30 p.m., did not meet on this date.)

PLEDGE OF ALLEGIANCE

Mayor Marty Blum.

ROLL CALL

Councilmembers present: Iya G. Falcone, Dale Francisco, Grant House, Helene Schneider, Das Williams, Mayor Blum.
Councilmembers absent: Roger L. Horton.
Staff present: City Administrator James L. Armstrong, City Attorney Stephen P. Wiley, City Clerk Services Manager Cynthia M. Rodriguez.

CEREMONIAL ITEMS

1. Subject: Proclamation Declaring October 2009 As Breast Cancer Awareness Month (120.04)

   Action: Proclamation presented to President-Elect Nancy Heaton, Soroptimist International of Santa Barbara.

COUNCIL AND STAFF COMMUNICATIONS

Administrative Services Director Marcelo López and City Clerk Services Manager Cynthia Rodriguez provided an update on the City's General Municipal Election process.

PUBLIC COMMENT

Speakers: Ruth Wilson, Cruzito Herrera Cruz.

CONSENT CALENDAR (Item Nos. 2 – 7)

Motion:

Councilmembers Falcone/Schneider to approve the Consent Calendar as recommended.

Vote:

Unanimous voice vote (Absent: Councilmember Horton).

2. Subject: Minutes

Recommendation: That Council waive the reading and approve the minutes of the regular meetings of September 22, and September 29, 2009.

Action: Approved the recommendation.

3. Subject: Approval Of Funding For Downtown Parking Garage Lighting Project (550.05)

Recommendation: That Council:

A. Increase the Downtown Parking estimated revenues in the amount of $96,363.31 in the Downtown Parking operating reserve for amounts to be reimbursed by Southern California Edison; and

B. Appropriate $121,271.16 from operating reserves in the Downtown Parking Capital Program to cover the cost of installing new fluorescent light fixtures in four of the City's downtown parking garages.

Action: Approved the recommendations (October 13, 2009, report from the Public Works Director).

4. Subject: Purchase Order For Drafting Services For The Fiscal Year 2010 Water Main Improvement Project (540.06)

Recommendation: That Council authorize the General Services Manager to issue a Purchase Order to O'Brien & Wall (O'Brien) in the amount of $38,665 for drafting services on the Water Main Improvement Project, Fiscal Year 2010 (Project), and change order authority of up to $3,935 to cover any cost increases that may result from extra services.

Action: Approved the recommendation (October 13, 2009, report from the Public Works Director).

5. Subject: Agreements For Afterschool Recreation Programs (570.06)

Recommendation: That Council:

A. Authorize the Parks and Recreation Director to enter into two annual program operation agreements with the Santa Barbara School Districts (SBSD) for the Recreation Afterschool Program (RAP) and Afterschool Opportunities for Kids! (A-OK!);

B. Authorize the Parks and Recreation Director to enter into an annual program operation agreement with the Santa Barbara School Districts and Police Activities League (PAL) for the Junior High Afterschool Sports Program; and

C. Increase estimated revenues and appropriations by $32,432 in the Parks and Recreation Department Fiscal Year 2010 General Fund budget for the Recreation Afterschool Program and Afterschool Opportunities for Kids! Program.

Speakers:

Members of the Public: Kate Smith.

Action: Approved the recommendations; Agreement Nos. 23,216 - 23,218 (October 13, 2009, report from the Parks and Recreation Director).

NOTICES

6. The City Clerk has on Thursday, October 8, 2009, 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.

7. Cancellation of the regular Redevelopment Agency meeting of October 13, 2009, due to a lack of business.

This concluded the Consent Calendar.

REPORT FROM THE FINANCE COMMITTEE

Finance Committee Member Helene Schneider reported that the Committee met to discuss the property tax securitization program where they received a report from staff on the California Communities' Proposition 1A, which allows cities to receive upfront the property tax revenues being borrowed by the State. The Committee approved staff's recommendation, which will be brought before the Council next week for discussion and a vote.

CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS

CITY ADMINISTRATOR

8. Subject: Central Coast Water Authority Board Member Assignment (540.03)

Recommendation: That Council designate a Councilmember to serve as the City's Representative on the Central Coast Water Authority (CCWA) Board for the remainder of the year.

Documents:
October 13, 2009, report from the City Administrator.

Speakers:
Staff: City Administrator James L. Armstrong.

Motion:
Councilmembers Williams/Falcone to designate Councilmember Francisco to serve on the Central Coast Water Authority Board for the remainder of Councilmember Falcone's term.

Vote:
Unanimous voice vote (Absent: Councilmember Horton).

FINANCE DEPARTMENT

9. Subject: Establishment Of Purchasing Debarment Procedures (340.02)

Recommendation: That Council adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Establishing the Grounds and Procedures for the Debarment of Nonresponsible Contractors Who Seek Contracts with the City.

Documents:
- October 13, 2009, report from the Interim Finance Director.
- Proposed Resolution.
- October 13, 2009, overhead presentation prepared and made by staff.

The title of the resolution was read.

Speakers:
Staff: Interim Finance Director Bob Samario, Purchasing Manager Bill Hornung.

(Cont'd)

9. (Cont'd)

Motion:
Councilmembers House/Falcone to approve the recommendation; Resolution No. 09-083.
Vote:
Unanimous roll call vote (Absent: Councilmember Horton).

PUBLIC WORKS DEPARTMENT

10. Subject: Joint Participation Agreement For Cachuma Operations And Maintenance Board Bond Issuance To Finance Improvements To The South Coast Conduit (540.03)

Recommendation: That Council:
A. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Authorizing the Execution and Delivery of a Joint Participation Agreement with the Cachuma Operations and Maintenance Board, and Authorizing Certain Other Actions Related Thereto; and
B. Authorize the City Administrator to execute an Indemnification Agreement by and between the Cachuma Operations and Maintenance Board, Goleta Water District, City of Santa Barbara, Carpinteria Valley Water District, and the Santa Ynez Water Conservation District, Improvement District No. 1 (ID No. 1), provided the agreement is in a form acceptable to the City Attorney.

Documents:
- October 13, 2009, report from the Public Works Director.
- Proposed Resolution.
- October 13, 2009, PowerPoint presentation prepared and made by staff.

The title of the resolution was read.

Speakers:
- Staff: Water Resources Manager Rebecca Bjork.
- Cachuma Operations and Maintenance Board: General Manager Kate Rees.

Motion:
Councilmembers House/Schneider to approve the recommendations; Resolution No. 09-084; Agreement No. 23,219.
Vote:
Unanimous roll call vote (Absent: Councilmember Horton).

11. Subject: Public Hearing Regarding Proposed Solid Waste Rate Changes (630.01)

Recommendation: That Council hold a public hearing, as required by State law, regarding proposed changes to rates for the collection of recyclables, greenwaste, foodscraps and trash for businesses within the City of Santa Barbara.

Documents:
- October 13, 2009, report from the Interim Finance Director.
- October 13, 2009, PowerPoint presentation prepared and made by staff.
- Affidavit of Publication.
- August 21, 2009, letter received from Francisco P. Mejia.

Public Comment Opened:
3:11 p.m.

Speakers:
Staff: Environmental Services Supervisor Stephen MacIntosh.

Public Comment Closed:
3:23 p.m.

By consensus, the public hearing was held.

RECESS

3:34 p.m. - 3:49 p.m. Mayor Blum was absent when the Council reconvened having stated previously that she would not participate in the discussion of the following item due to a potential conflict of interest related to the proximity of her residence to the subject property.

City Administrator James Armstrong was also absent when the Council reconvened. Assistant City Administrator Joan M. Kent was in attendance for the remainder of the meeting.

PUBLIC HEARINGS

12. Subject: Appeal Of The Planning Commission Denial Of The 1642 & 1654 Calle Cañon/2418 Calle Montilla Subdivision (640.07)

Recommendation: That Council deny the appeal of Joseph and Carolyn Maguire, thereby upholding the Planning Commission denial of the proposed six-lot subdivision and associated modifications and waivers.

(Cont'd)

12. (Cont'd)

Documents:

- October 13, 2009, report from the Community Development Director.
- October 13, 2009, PowerPoint presentation prepared and made by staff.
- Affidavit of Publication.
- October 8, 2009, letter from Berni Bernstein, Co-President La Mesa Neighborhood Association.
- October 12, 2009, letter from William E. Lindberg, Ph.D., Prospect Mortgage.

Public Comment Opened:
3:49 p.m.

Speakers:

- Staff: Associate Planner Daniel Gullett, Senior Planner Danny Kato.
- Planning Commission: Commissioner Sheila Lodge.
- Applicant/Appellant: Carol Maguire, Architect Peter Ehlen.
- Members of the Public: Kevin Pieruc, Keith Coffman-Grey, Bill Boyd, Sandy Gray, Joe Maguire, Pamela Garland, Je Goolsby.

Public Comment Closed:
4:46 p.m.

Motion:
Councilmembers Williams/Schneider to deny the appeal, upholding the Planning Commission's denial of the proposed six-lot subdivision.

Amendment Motion:
Councilmembers Williams/Schneider to deny the appeal without prejudice.
Vote on Amendment Motion:
Majority voice vote (Noes: Councilmember Falcone; Absent: Councilmember Horton, Mayor Blum).

ADJOURNMENT

Mayor Pro Tempore Francisco adjourned the meeting at 5:18 p.m.

SANTA BARBARA CITY COUNCIL

SANTA BARBARA
CITY CLERK'S OFFICE

_____ ATTEST: _____

MARTY BLUM
MAYOR

CYNTHIA M. RODRIGUEZ, CMC
CITY CLERK SERVICES MANAGER

_____

DALE FRANCISCO
MAYOR PRO TEMPORE

CITY OF SANTA BARBARA
CITY COUNCIL MINUTES

REGULAR MEETING
November 10, 2009
COUNCIL CHAMBER, 735 ANACAPA STREET

CALL TO ORDER

Mayor Marty Blum called the meeting to order at 2:03 p.m. (The Finance Committee met at 12:30 p.m. The Ordinance Committee, which is ordinarily scheduled to meet at 12:30 p.m., did not meet on this date).

PLEDGE OF ALLEGIANCE

Mayor Blum.

ROLL CALL

Councilmembers present: Iya G. Falcone, Dale Francisco, Roger L. Horton, Grant House (2:04 p.m.), Helene Schneider, Das Williams, Mayor Blum.
Councilmembers absent: None.
Staff present: City Administrator James L. Armstrong, Assistant City Attorney N. Scott Vincent, Deputy City Clerk Brenda Alcazar.

CEREMONIAL ITEMS

1. Subject: Employee Recognition - Service Award Pins (410.01)

   Recommendation: That Council authorize the City Administrator to express the City's appreciation to employees who are eligible to receive service award pins for their years of service through November 30, 2009.

   Documents:
   November 10, 2009, report from the Administrative Services Director.

   Speakers:
   Staff: City Administrator James Armstrong, Award Recipient John Krohta.

(Cont'd)

1. (Cont'd)

By consensus, the Council recognized the following employees:

5-Year Pin
Christie Lanning, Human Resources Analyst, Administrative Services
10-Year Pin
Samuel Blackwell, Building Inspector, Community Development
Brian Gronnebeck, Senior Building Inspector, Community Development
Darrell Shon, Laboratory Analyst II, Public Works
15-Year Pin
John Gordon, Senior Streets Maintenance Worker, Public Works
20-Year Pin
Karen Flores, Business Officer Supervisor, Police
David Whitham, Police Lieutenant, Police
David Hedges, Police Officer, Police
Nancy Stecki, Administrative Specialist, Public Works
25-Year Pin
Charles Brown, Survey Party Chief, Public Works
John Krohta, Airport Patrol Officer II, Airport

2. Subject: Proclamation Declaring November 2009 As End Domestic Violence Month (120.04)

Action: Proclamation presented to Jayne Brechwald on behalf of Soroptimist International of Santa Barbara.

PUBLIC COMMENT

Speakers: David Daniel Diaz; Susan Klein-Rothschild, Santa Barbara County Public Health Department; Ken Loch; Ruth Wilson; Kate Smith.

CONSENT CALENDAR (Item Nos. 3 - 14)

The title of the resolution related to Item No. 4 was read.

Motion:
Councilmembers Horton/Williams to approve the Consent Calendar as recommended.
Vote:
Unanimous roll call vote.

3. Subject: Minutes

Recommendation: That Council waive the reading and approve the minutes of the adjourned regular meeting of October 5, 2009, and the regular meetings of October 6, 2009, and October 20, 2009.

Action: Approved the recommendation.

4. Subject: TEFRA Hearing For Mental Health Association's Purchase Of Facilities At 617 Garden Street (240.03)

Recommendation: That Council hold a public hearing and adopt, by reading of title only, A Resolution of the City Council of the City of Santa Barbara Approving the Issuance of Bonds by the California Municipal Finance Authority in an Amount not to Exceed $2,000,000 for the Purpose of Financing the Acquisition of Facilities for the Mental Health Association in Santa Barbara County, and Certain Other Matters Relating Thereto.

Action: Approved the recommendation; Resolution No. 09-088 (November 10, 2009, report from the Community Development Director; proposed resolution; affidavit of publication).

5. Subject: Approval Of Emergency Purchase Order And Approval Of Sole Source Vendor For Repairs To Equipment At El Estero Wastewater Treatment Plant (540.13)

Recommendation: That Council:

A. Retroactively approve emergency Purchase Order No. 382921 in the amount of $64,148 to JWC Environmental for parts and labor needed to repair existing rag and trash removal equipment at the El Estero Wastewater Treatment Plant (El Estero); and

B. Approve JWC Environmental as the sole source vendor for future parts and repair of Wastewater influent screening equipment.

Action: Approved the recommendations (November 10, 2009, report from the Public Works Director).

6. Subject: Contract For Design Services For The Zone 4 Pavement Maintenance Project And Acceptance Of Grant Funds (530.04)

Recommendation: That Council:

A. Approve the selection of Flowers and Associates (Flowers) to provide professional engineering design and construction management services for the annual Pavement Maintenance Project scheduled for Fiscal Years 2010 through 2012;

(Cont'd)

6. (Cont'd)

B. Authorize the Public Works Director to execute a contract with Flowers in the amount of $59,280 for design services for the Zone 4 Pavement Maintenance Project (Project), and approve expenditures of up to $5,928 for extra services of Flowers that may result from necessary changes in the scope of work; and

C. Accept Local Surface Transportation Program (LSTP) Grant funding in the amount of $347,000, and increase appropriations and estimated revenues by $347,000 in the Fiscal Year 2010 Streets Capital Fund for the Project.

Action: Approved the recommendations; Contract No. 23,230 (November 10, 2009, report from the Public Works Director).

7. Subject: Approval Of Purchase Order For Dewatering Equipment At The William B. Cater Treatment Plant (540.10)

Recommendation: That Council:

A. Authorize the purchase of a dewatering belt press from Aspen Rentals in the amount of $376,000 for use at the William B. Cater Water Treatment Plant (Cater) pursuant to section 4.52.070 (L) of the Santa Barbara Municipal Code whereby the City Council finds it in the best interest of the City to forego normal bidding processes;

B. Approve an increase to the existing Purchase Order in the amount of $18,000 to allow for one additional month of the rental expenditure with Gold Coast Stabilization for a dewatering belt press; and

C. Approve an increase to the existing Purchase Order in the amount of $68,250 to allow the continuation of the rental expenditure for the Rain For Rent mixing tank for an additional 30 months.

Action: Approved the recommendations (November 10, 2009, report from the Public Works Director).

8. Subject: Contract For Annual Wastewater Flow Monitoring (540.13)

Recommendation: That Council award and authorize the Public Works Director to execute a contract with V&A Engineering (V&A) for $212,000 for a Wastewater Flow Monitoring Project and for expenditures up to $21,200 to cover any cost increases that may result from extra services.

Action: Approved the recommendation; Contract No. 23,231 (November 10, 2009, report from the Public Works Director).

9. Subject: Approval Of Map And Execution Of Agreements For 412 And 414 Anacapa Street (640.08)

Recommendation: That Council approve and authorize the City Administrator to execute and record Parcel Map Number 20,785 for a subdivision at 412 and 414 Anacapa Street (finding the Parcel Map in conformance with the State Subdivision Map Act, the City's Subdivision Ordinance, and the Tentative Subdivision Map), and other standard agreements relating to the approved subdivision.

Action: Approved the recommendation; Agreement Nos. 23,232 and 23,233 (November 10, 2009, report from the Public Works Director).

10. Subject: Approval Of Map And Execution Of Agreements For 1829 State Street And 11 West Pedregosa Street (640.08)

Recommendation: That Council approve and authorize the City Administrator to execute and record Final Map Number 20,769 for a subdivision at 1829 State Street and 11 West Pedregosa Street (finding the Final Map in conformance with the State Subdivision Map Act, the City's Subdivision Ordinance, and the Tentative Subdivision Map), and other standard agreements relating to the approved subdivision, and authorize the City Engineer to record a removal document for the Land Development Agreement when the public improvements are complete.

Action: Approved the recommendation; Agreement Nos. 23,234 and 23,235 (November 10, 2009, report from the Public Works Director).

11. Subject: Approval Of Map And Execution Of Agreements For 618 San Pascual Street (640.08)

Recommendation: That Council approve and authorize the City Administrator to execute and record Parcel Map Number 20,782 for a subdivision at 618 San Pascual Street (finding the Parcel Map in conformance with the State Subdivision Map Act, the City's Subdivision Ordinance, and the Tentative Subdivision Map), and other standard agreements relating to the approved subdivision.

Action: Approved the recommendation; Agreement Nos. 23,236 and 23,237 (November 10, 2009, report from the Public Works Director).

12. Subject: Set A Date For Public Hearing Regarding Appeal Of Single Family Design Board Approval For 803 Rametto Lane (640.07)

Recommendation: That Council:

A. Set the date of December 15, 2009, at 2:00 p.m. for hearing the appeal filed by Raye Haskell of the Single Family Design Board final approval of an application for property owned by Jane Barrett and located at 803 Rametto Lane, Assessor's Parcel No. 015-120-010, A-2 One-Family Residence Zone, General Plan Designation: Residential, Two Units per Acre. The project consists of construction of additions to the first floor and a new second story to an existing 1,837 square-foot, one-story single-family residence located in the Hillside Design District; the proposed total of 3,832 square feet is 77% of the maximum floor-to-lot area ratio guideline; and

B. Set the date of December 14, 2009, at 1:30 p.m. for a site visit to the property located at 803 Rametto Lane.

Action: Approved the recommendations (September 24, 2009, letter of appeal).

NOTICES

13. The City Clerk has on Thursday, November 5, 2009, 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.

14. A City Council site visit is scheduled for Monday, November 16, 2009, at 1:30 p.m. to the property located at 226 and 232 Eucalyptus Hill Drive, which is the subject of an appeal hearing set for November 17, 2009, at 2:00 p.m.

This concluded the Consent Calendar.

REPORT FROM THE FINANCE COMMITTEE

Finance Committee Chair Roger L. Horton reported that the Committee met to discuss adjustments to the Fiscal Year 2010 budget, which will be presented to the Council as Agenda Item No. 15.

CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS

FINANCE DEPARTMENT

15. Subject: Fiscal Year 2010 Balancing And Adjustments (230.05)

Recommendation: That Council:

A. Approve the adjustments to budgeted revenues and expenditures for Fiscal Year 2010 as detailed in the Summary of Recommended Budget Adjustments to address the projected revenue shortfall in the General Fund; and

B. Adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Amending Resolution No. 09-043, Establishing Certain City Fees, Including Water and Wastewater Rates, to Authorize Adjustments to Parks and Recreation Fees and Adjust the Fee for Reserving Library Materials.

Documents:

- November 10, 2009, report from the Interim Finance Director.
- Proposed Resolution.
- November 10, 2009, PowerPoint Presentation.

The title of the resolution was read.

Councilmember Falcone left the meeting at 2:27 p.m. and returned at 2:37 p.m.

Speakers:

Staff: Interim Finance Director Robert Samario, Police Chief Camerino Sanchez, Library Director Irene Macias, Principal Engineer John Ewasiuk.

Motion:

Councilmembers Horton/Schneider to approve the recommendations; Resolution No. 09-089.

Vote:

Unanimous roll call vote.

PUBLIC HEARINGS

16. Subject: Appeal Of Planning Commission Decision For 415 Alan Road (640.07)

Recommendation: That Council deny the appeal of Steven Amerikaner, agent for Mr. and Mrs. Andrew Seybold, and uphold the Planning Commission decision to deny the initiation of the Zone Change, General Plan Amendment and Local Coastal Program Amendment at 415 Alan Road.

(Cont'd)

16. (Cont'd)

Documents:

- November 10, 2009, report from the Community Development Director.
- November 10, 2009, PowerPoint presentation prepared and made by Staff.
- Affidavit of Publication.
- November 10, 2009, PowerPoint presentation submitted by Steven Amerikaner.
- May 5, 2009, letter from Richard B. Tanner.
- November 2, 2009, letter from Steve H. Dougherty.

Councilmember Williams left the meeting at 3:04 p.m. and returned at 3:09 p.m.

Public Comment Opened:
3:04 p.m.

Speakers:

- Staff: Associate Planner Kathleen Kennedy, City Planner Bettie Weiss, Assistant City Attorney N. Scott Vincent.
- Planning Commission: Commissioner Sheila Lodge.
- Appellant/Applicant: Steven Amerikaner, Andrew Seybold.

Public Comment Closed:
3:31 p.m.

Motion:
Councilmembers Falcone/House to uphold the appeal and to initiate the Zone Change, General Plan Amendment and Local Coastal Program Amendment at 415 Alan Road.

Amendment Motion:
Councilmembers Falcone/House to uphold the appeal and to initiate the Zone Change, the General Plan Amendment and Local Coastal Plan Program Amendment at 415 Alan Road, and request that staff present to Council what designations the parcel should have in order to meet the City's and applicant's interests and what substantiation, in a deliberation with the Applicant, would be made to ensure that the new unit is a middle income unit.

Vote on Amendment Motion:
Majority voice vote (Noes: Councilmember Horton, Mayor Blum).

MAYOR AND COUNCIL REPORTS

17. Subject: Interviews For City Advisory Groups (140.05)

Recommendation: That Council:
A. Hold interviews of applicants to various City Advisory Groups; and
B. Continue interviews of applicants to November 17, 2009, at 6:00 p.m.
(Estimated Time: 4:00 p.m.)

Documents:
- November 10, 2009, report from the Administrative Services Director.
- November 10, 2009, resumé submitted by Chris Casebeer.

Assistant City Attorney N. Scott Vincent left the meeting at 4:19 p.m. City Attorney Stephen P. Wiley entered the meeting at 4:24 p.m.

Speakers:
The following applicants were interviewed:
Airport Commission:
William Gilbert
Civil Service Commission:
Kathryn McKee
Downtown Parking Committee:
Randy Rowse
Fire and Police Commission:
Frank Bañales
Robert Handy
Franklin Center Advisory Committee:
Sebastian Aldana, Jr.
Historic Landmarks Commission:
Louise Boucher
William LaVoie
Housing Authority Commission:
Stanley Eisele
Living Wage Advisory Committee:
Gabe Dominocielo
Parks and Recreation Commission:
Chris Casebeer
Lesley Wiscomb
Planning Commission:
Deborah Schwartz
Addison Thompson
Measure P Committee:
Gary Buffington

By consensus, the interviews were continued to November 17, 2009, at 6:00 p.m.

RECESS

5:01 p.m. - 6:03 p.m. Councilmember Horton was absent when the Council reconvened, having stated previously that he would not participate in the discussion of Agenda Item No. 18 due to a conflict of interest related to his ownership of property situated near the proposed project.

Mayor Blum presiding.
Councilmembers present: Falcone, Francisco, House, Schneider, Williams, Mayor Blum.
Councilmembers absent: Horton.
Staff present: City Administrator James L. Armstrong, City Attorney Stephen Wiley, Deputy City Clerk Alcazar.

PUBLIC COMMENT

No one wished to speak.

PUBLIC HEARINGS

18. Subject: Appeal Of Planning Commission Decision For 1900 Lasuen Road, El Encanto Hotel (640.07)

    Recommendation: That Council deny the appeal filed by Trevor Martinson and uphold the Planning Commission approval of the Modifications and Transfer of Existing Development Rights for the project revisions proposed at the El Encanto Hotel.

    Documents:
    - November 10, 2009, report from the Community Development Director.
    - November 10, 2009, PowerPoint presentation prepared and made by Staff.
    - Affidavit of Publication.
    - November 4, 2009, letter from Trevor Martinson.
    - November 9, 2009, letter from Trevor Martinson.
    - November 1, 2009, letter from David and Linda Hughes.
    - November 5, 2009, letter from Robert M. Fulmer.
    - November 9, 2009, email communication from Edward Cooper.
    - November 9, 2009, letter from Jan and Joanna von Yurt.
    - November 10, 2009, email communications from Robert Claycomb, Jim Knight, and William Bogaard.
    - November 10, 2009, telephone message from Fleurette Janigian.

(Cont'd)

18. (Cont'd)

Public Comment Opened:
6:03 p.m.

Speakers:
- Staff: Associate Planner Kathleen Kennedy.
- Appellant: Trevor Martinson.
- Applicant: Doug Fell.
- Members of the Public: Sharon Morrow, Nettie Peterson, Ernest Bivans, June R. Andron, Jim Seidler, Mary Moore, Helena Hill, Jeannine Daniel, Farrokh Nazerian, Pete Jordano, Jan Marco von Yurt, Gloria Hendley, Charles Croninger.
- Planning Commission: Commissioner Charmaine Jacobs.

Public Comment Closed:
6:45 p.m.

Motion:
Councilmembers House/Falcone to deny the appeal because the issues raised by the Appellant are not relevant to the approval granted by the Planning Commission, and to move the project forward.

Vote:
Unanimous voice vote (Absent: Councilmember Horton).

ADJOURNMENT

Mayor Blum adjourned the meeting at 7:01 p.m. to Monday, November 16, 2009, at 1:30 p.m. at 226 and 232 Eucalyptus Hill Drive.

SANTA BARBARA CITY COUNCIL

SANTA BARBARA
CITY CLERK'S OFFICE

_____ ATTEST: _____

MARTY BLUM
MAYOR

BRENDA ALCAZAR, CMC
DEPUTY CITY CLERK

Agenda Item No._____

File Code No. 250.02

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: Accounting Division, Finance Department

SUBJECT: Fiscal Year 2010 Interim Financial Statements For The Four Months Ended October 31, 2009

RECOMMENDATION:

That Council accept the Fiscal Year 2010 Interim Financial Statements for the Four Months Ended October 31, 2009.

DISCUSSION:

The interim financial statements for the Four Months Ended October 31, 2009 (33.3% of the fiscal year) are attached. The interim financial statements include budgetary activity in comparison to actual activity for the General Fund, Enterprise Funds, Internal Service Funds, and select Special Revenue Funds.

ATTACHMENT: Interim Financial Statements for the Four Months Ended October 31, 2009

PREPARED BY: Rudolf J. Livingston, Accounting Manager

SUBMITTED BY: Robert Samario, Interim Finance Director

APPROVED BY: City Administrator's Office

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenditures
Summary by Fund
For the Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget
GENERAL FUND					
Revenue	104,648,627	26,135,556	-	78,513,071	25.0%
Expenditures	104,813,146	34,820,374	1,083,687	68,909,085	34.3%
Addition to / (use of) reserves	(164,519)	(8,684,818)	(1,083,687)		
WATER OPERATING FUND					
Revenue	34,188,296	13,180,422	-	21,007,873	38.6%
Expenditures	37,418,635	10,950,844	3,102,845	23,364,945	37.6%
Addition to / (use of) reserves	(3,230,339)	2,229,578	(3,102,845)		
WASTEWATER OPERATING FUND					
Revenue	14,828,850	5,192,140	-	9,636,710	35.0%
Expenditures	16,070,288	4,348,110	1,587,897	10,134,281	36.9%
Addition to / (use of) reserves	(1,241,438)	844,030	(1,587,897)		
DOWNTOWN PARKING					
Revenue	6,762,290	2,379,794	-	4,382,496	35.2%
Expenditures	8,195,457	2,533,268	608,827	5,053,363	38.3%
Addition to / (use of) reserves	(1,433,167)	(153,474)	(608,827)		
AIRPORT OPERATING FUND					
Revenue	12,440,678	4,230,609	-	8,210,069	34.0%
Expenditures	12,723,593	3,813,909	710,026	8,199,657	35.6%
Addition to / (use of) reserves	(282,915)	416,700	(710,026)		
GOLF COURSE FUND					
Revenue	2,380,438	645,376	-	1,735,062	27.1%
Expenditures	2,785,158	956,595	425,458	1,403,105	49.6%
Addition to / (use of) reserves	(404,720)	(311,220)	(425,458)		
INTRA-CITY SERVICE FUND					
Revenue	6,420,078	2,551,665	-	3,868,413	39.7%
Expenditures	6,681,905	1,576,876	655,165	4,449,864	33.4%
Addition to / (use of) reserves	(261,827)	974,790	(655,165)		
FLEET REPLACEMENT FUND					

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenditures
Summary by Fund
For the Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget
FLEET REPLACEMENT FUND					
Revenue	1,779,868	634,923	-	1,144,945	35.7%
Expenditures	3,821,874	359,966	1,135,846	2,326,062	39.1%
Addition to / (use of) reserves	(2,042,006)	274,957	(1,135,846)		
FLEET MAINTENANCE FUND					
Revenue	2,565,663	838,554	-	1,727,109	32.7%
Expenditures	2,667,128	695,346	170,606	1,801,177	32.5%
Addition to / (use of) reserves	(101,465)	143,209	(170,606)		
SELF INSURANCE TRUST FUND					
Revenue	6,073,674	2,030,761	-	4,042,913	33.4%
Expenditures	6,219,840	1,599,298	246,570	4,373,973	29.7%
Addition to / (use of) reserves	(146,166)	431,464	(246,570)		
INFORMATION SYSTEMS ICS FUND					
Revenue	2,435,147	814,970	-	1,620,177	33.5%
Expenditures	2,630,280	698,452	468,381	1,463,447	44.4%
Addition to / (use of) reserves	(195,133)	116,518	(468,381)		
WATERFRONT FUND					
Revenue	11,522,348	4,432,646	-	7,089,702	38.5%
Expenditures	12,061,259	4,363,293	663,431	7,034,535	41.7%
Addition to / (use of) reserves	(538,911)	69,353	(663,431)		
TOTAL FOR ALL FUNDS					
Revenue	206,045,957	63,067,416	-	142,978,540	30.6%
Expenditures	216,088,564	66,716,331	10,858,740	138,513,493	35.9%
Addition to / (use of) reserves	(10,042,607)	(3,648,915)	(10,858,740)		

*** 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 accomodate 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 Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

	Annual Budget	YTD Actual	Remaining Balance	Percent Received	Previous YTD
TAXES					
Sales and Use	18,479,524	4,159,233	14,320,291	22.5%	4,775,828
Property Taxes	23,860,000	1,073,651	22,786,349	4.5%	1,327,653
Utility Users Tax	7,242,000	2,345,641	4,896,359	32.4%	2,384,565
Transient Occupancy Tax	12,027,000	4,987,184	7,039,816	41.5%	5,917,590
Franchise Fees	2,976,000	889,920	2,086,080	29.9%	888,457
Business License	2,273,300	517,399	1,755,901	22.8%	516,040
Real Property Transfer Tax	325,800	121,627	204,173	37.3%	119,174
Total	67,183,624	14,094,656	53,088,968	21.0%	15,929,306
LICENSES & PERMITS					
Licenses & Permits	179,000	57,443	121,557	32.1%	65,262
Total	179,000	57,443	121,557	32.1%	65,262
FINES & FORFEITURES					
Parking Violations	2,582,774	866,524	1,716,250	33.6%	793,165
Library Fines	110,000	40,277	69,723	36.6%	38,956
Municipal Court Fines	150,000	47,024	102,976	31.3%	63,912
Other Fines & Forfeitures	100,000	56,650	43,350	56.7%	-
Total	2,942,774	1,010,474	1,932,300	34.3%	896,033
USE OF MONEY & PROPERTY					
Investment Income	941,951	405,745	536,206	43.1%	574,311
Rents & Concessions	406,436	138,817	267,619	34.2%	135,853
Total	1,348,387	544,562	803,825	40.4%	710,163
INTERGOVERNMENTAL					
Grants	2,195,577	149,544	2,046,033	6.8%	1,232,186
Vehicle License Fees	200,000	134,978	65,022	67.5%	140,864
Total	2,395,577	284,522	2,111,055	11.9%	1,373,051
FEES & SERVICE CHARGES					
Finance	858,930	273,687	585,243	31.9%	269,105
Community Development	4,425,717	1,636,595	2,789,122	37.0%	1,499,363
Recreation	2,412,579	793,881	1,618,698	32.9%	878,701
Public Safety	550,543	136,545	413,998	24.8%	117,028
Public Works	4,608,873	1,756,470	2,852,403	38.1%	1,373,185
Library	775,452	366,922	408,530	47.3%	12,894
Reimbursements	5,809,367	1,846,369	3,962,998	31.8%	1,650,977
Total	19,441,461	6,810,469	12,630,992	35.0%	5,801,252
OTHER MISCELLANEOUS REVENUES					
Miscellaneous	1,513,987	514,417	999,570	34.0%	2,035,198
Indirect Allocations	7,238,105	2,484,036	4,754,069	34.3%	2,230,974
Operating Transfers-In	2,405,712	334,976	2,070,736	13.9%	430,600
Total	11,157,804	3,333,430	7,824,374	29.9%	4,696,772
TOTAL REVENUES	104,648,627	26,135,556	78,513,071	25.0%	29,471,838

CITY OF SANTA BARBARA
General Fund
Interim Statement of Appropriations, Expenditures and Encumbrances
For the Three Months Ended September 30, 2009 (25% of Fiscal Year)

	Annual Budget	YTD Actual	Encum-brances	** Remaining Balance	YTD Expended and Encumbered	Previous YTD
GENERAL GOVERNMENT						
Mayor & City Council						
MAYOR	747,750	242,236	2,493	503,021	32.7%	
Total	747,750	242,236	2,493	503,021	32.7%	272,627
City Attorney						
CITY ATTORNEY	2,099,358	724,002	-	1,375,356	34.5%	
Total	2,099,358	724,002	-	1,375,356	34.5%	731,778
Administration						
CITY ADMINISTRATOR	1,351,840	487,381	2,493	861,966	36.2%	
LABOR RELATIONS	228,570	67,957	-	160,613	29.7%	
CITY TV	440,943	139,799	36,604	264,540	40.0%	
Total	2,021,353	695,137	39,097	1,287,119	36.3%	747,278
Administrative Services						
CITY CLERK	773,167	223,743	155,460	393,964	49.0%	
HUMAN RESOURCES	1,190,764	363,942	21,477	805,345	32.4%	
ADMIN SVCS-EMPLOYEE DEVELOPMENT	182,921	48,497	-	134,424	26.5%	
Total	2,146,852	636,182	176,936	1,333,734	37.9%	634,479
Finance						
ADMINISTRATION	682,555	299,931	10,995	371,629	45.6%	
TREASURY	384,702	148,363	2,800	233,539	39.3%	
CASHIERING & COLLECTION	427,287	143,808	1,993	281,486	34.1%	
LICENSES & PERMITS	387,383	131,353	-	256,030	33.9%	
BUDGET MANAGEMENT	353,511	135,060	-	218,451	38.2%	
ACCOUNTING	405,390	124,750	12,703	267,938	33.9%	
PAYROLL	273,371	90,128	-	183,243	33.0%	
ACCOUNTS PAYABLE	210,859	68,866	-	141,993	32.7%	
CITY BILLING & CUSTOMER SERVICE	560,542	150,732	-	409,810	26.9%	
PURCHASING	653,082	216,297	3,071	433,714	33.6%	
CENTRAL STORES	183,803	60,662	-	123,141	33.0%	
MAIL SERVICES	96,326	30,792	-	65,534	32.0%	
Total	4,618,811	1,600,743	31,562	2,986,507	35.3%	1,677,800
TOTAL GENERAL GOVERNMENT	11,634,124	3,898,299	250,088	7,485,737	35.7%	4,063,962
PUBLIC SAFETY						
Police						
CHIEF'S STAFF	1,160,176	398,922	-	761,254	34.4%	
SUPPORT SERVICES	575,931	189,033	4,029	382,869	33.5%	
RECORDS	1,396,802	458,083	11,835	926,884	33.6%	
COMMUNITY SVCS	1,063,530	362,761	4,925	695,844	34.6%	
CRIME ANALYSIS	90,584	8,561	-	82,023	9.5%	
PROPERTY ROOM	125,326	43,537	1,034	80,755	35.6%	

CITY OF SANTA BARBARA
General Fund
Interim Statement of Appropriations, Expenditures and Encumbrances
For the Three Months Ended September 30, 2009 (25% of Fiscal Year)

	Annual Budget	YTD Actual	Encum-brances	** Remaining Balance	YTD Expended and Encumbered	Previous YTD
PUBLIC SAFETY						
Police						
TRNG/RECRUITMENT	381,881	184,745	-	197,136	48.4%	
RANGE	879,439	298,588	32,981	547,870	37.7%	
BEAT COORDINATORS	801,812	156,578	-	645,234	19.5%	
INFORMATION TECHNOLOGY	1,118,502	437,390	85,530	595,582	46.8%	
INVESTIGATIVE DIVISION	4,513,258	1,456,238	4,040	3,052,980	32.4%	
CRIME LAB	222,370	43,113	-	179,257	19.4%	
PATROL DIVISION	12,629,310	4,246,564	150,467	8,232,279	34.8%	
TRAFFIC	1,330,706	374,454	1,650	954,602	28.3%	
SPECIAL EVENTS	986,472	654,969	-	331,503	66.4%	
TACTICAL PATROL FORCE	1,131,685	390,252	-	741,433	34.5%	
STREET SWEEPING ENFORCEMENT	236,362	86,519	-	149,843	36.6%	
NIGHT LIFE ENFORCEMENT	458,400	122,112	-	336,288	26.6%	
PARKING ENFORCEMENT	902,337	283,105	27,800	591,432	34.5%	
CCC	2,383,022	706,075	641	1,676,306	29.7%	
ANIMAL CONTROL	462,772	189,004	-	273,768	40.8%	
Total	32,850,677	11,090,602	324,931	21,435,145	34.7%	11,875,276
Fire						
ADMINISTRATION	1,096,276	369,371	3,796	723,109	34.0%	
EMERGENCY SERVICES AND PUBLIC ED	218,086	74,278	1,345	142,463	34.7%	
PREVENTION	1,187,985	390,730	675	796,580	32.9%	
WILDLAND FIRE MITIGATION PROGRAM	191,083	57,750	24,229	109,103	42.9%	
OPERATIONS	17,188,401	5,775,380	67,132	11,345,889	34.0%	
ARFF	1,623,165	565,959	-	1,057,206	34.9%	
Total	21,504,996	7,233,468	97,177	14,174,351	34.1%	8,043,164
TOTAL PUBLIC SAFETY	54,355,673	18,324,070	422,108	35,609,496	34.5%	19,918,441
PUBLIC WORKS						
Public Works						
ADMINISTRATION	862,361	280,851	13,960	567,550	34.2%	
ENGINEERING SVCS	4,305,474	1,396,951	17,536	2,890,987	32.9%	
PUBLIC RT OF WAY MGMT	1,011,589	313,669	2,473	695,447	31.3%	
ENVIRONMENTAL PROGRAMS	514,158	90,084	55,014	369,060	28.2%	
Total	6,693,582	2,081,566	88,983	4,523,033	32.4%	2,304,645
TOTAL PUBLIC WORKS	6,693,582	2,081,566	88,983	4,523,033	32.4%	2,304,645
COMMUNITY SERVICES						
Parks & Recreation						
PRGM MGMT & BUS SVCS	524,868	186,752	-	338,116	35.6%	
FACILITIES	407,356	140,972	10,891	255,494	37.3%	
CULTURAL ARTS	429,832	150,073	28,420	251,339	41.5%	
YOUTH ACTIVITIES	752,636	266,007	6,369	480,260	36.2%	

CITY OF SANTA BARBARA
General Fund
Interim Statement of Appropriations, Expenditures and Encumbrances
For the Three Months Ended September 30, 2009 (25% of Fiscal Year)

	Annual Budget	YTD Actual	Encum-brances	** Remaining Balance	YTD Expended and Encumbered	Previous YTD
COMMUNITY SERVICES						
Parks & Recreation						
SR CITIZENS	722,733	255,333	564	466,835	35.4%	
AQUATICS	1,097,052	501,970	40,934	554,148	49.5%	
SPORTS	488,962	144,223	8,685	336,054	31.3%	
TENNIS	275,753	107,887	-	167,866	39.1%	
NEIGHBORHOOD & OUTREACH SERV	1,263,260	422,800	1,240	839,220	33.6%	
ADMINISTRATION	528,293	176,585	-	351,708	33.4%	
PROJECT MANAGEMENT TEAM	247,538	109,555	-	137,983	44.3%	
BUSINESS SERVICES	520,527	114,948	762	404,817	22.2%	
FACILITY & PROJECT MGT	1,012,354	422,356	1,721	588,277	41.9%	
GROUNDS MANAGEMENT	4,174,069	1,429,944	97,229	2,646,896	36.6%	
FORESTRY	1,182,344	347,332	13,784	821,228	30.5%	
BEACH MAINTENANCE	170,234	43,344	8,984	117,906	30.7%	
Total	13,797,811	4,821,008	222,689	8,754,114	36.6%	5,607,428
Library						
ADMINISTRATION	416,148	135,837	-	280,311	32.6%	
PUBLIC SERVICES	2,264,920	744,581	3,250	1,517,089	33.0%	
SUPPORT SERVICES	1,650,602	443,653	7,939	1,199,010	27.4%	
Total	4,331,670	1,324,071	11,189	2,996,410	30.8%	1,591,101
TOTAL COMMUNITY SERVICES	18,129,481	6,145,079	233,878	11,750,524	35.2%	7,198,529
COMMUNITY DEVELOPMENT						
Community Development						
ADMINISTRATION	491,949	168,608	755	322,585	34.4%	
ECON DEV	62,919	19,260	-	43,659	30.6%	
CITY ARTS ADVISORY PROGRAM	540,483	-	-	540,483	0.0%	
HUMAN SVCS	818,612	176,312	-	642,300	21.5%	
RDA	730,700	207,830	-	522,870	28.4%	
RDA HSG DEV	677,395	231,083	-	446,312	34.1%	
LR PLANNING/STUDIES	792,833	246,695	5,859	540,279	31.9%	
DEV & DESIGN REVIEW	1,069,406	328,845	8,707	731,854	31.6%	
ZONING	854,297	269,767	958	583,572	31.7%	
DESIGN REV & HIST PRESERVATN	957,682	289,672	43,384	624,626	34.8%	
SHO/ENVIRON REVIEW/TRAINING	704,462	224,234	7,599	472,629	32.9%	
BLDG PERMITS	1,018,740	323,565	1,291	693,884	31.9%	
RECORDS & ARCHIVES	593,922	165,455	19,749	408,718	31.2%	
PLAN CK & COUNTER SRV	1,268,494	415,251	327	852,916	32.8%	
Total	10,581,894	3,066,577	88,630	7,426,688	29.8%	3,510,426
TOTAL COMMUNITY DEVELOPMENT	10,581,894	3,066,577	88,630	7,426,688	29.8%	3,510,426

CITY OF SANTA BARBARA
General Fund
Interim Statement of Appropriations, Expenditures and Encumbrances
For the Three Months Ended September 30, 2009 (25% of Fiscal Year)

	Annual Budget	YTD Actual	Encum-brances	** Remaining Balance	YTD Expended and Encumbered	Previous YTD
NON-DEPARTMENTAL						
Non-Departmental						
DUES, MEMBERSHIPS, & LICENSES	22,272	-	-	22,272	0.0%	
COMMUNITY PROMOTIONS	1,706,580	951,791	-	754,789	55.8%	
SPECIAL PROJECTS	21,000	4,200	-	16,800	20.0%	
TRANSFERS OUT	43,500	43,500	-	-	100.0%	
DEBT SERVICE TRANSFERS	353,568	288,626	-	64,942	81.6%	
CAPITAL OUTLAY TRANSFER	573,170	16,667	-	556,503	2.9%	
APPROP. RESERVE	698,302	-	-	698,302	0.0%	
Total	3,418,392	1,304,784	-	2,113,608	38.2%	2,222,295
TOTAL NON-DEPARTMENTAL	3,418,392	1,304,784	-	2,113,608	38.2%	2,222,295
TOTAL EXPENDITURES	104,813,146	34,820,374	1,083,687	68,909,085	34.3%	39,218,296

*** 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 Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget
TRAFFIC SAFETY FUND					
Revenue	515,000	160,930	-	354,070	31.2%
Expenditures	515,000	158,340	-	356,660	30.7%
Revenue Less Expenditures	-	2,590	-	(2,590)	
CREEK RESTORATION/WATER QUALITY IMPRVMT					
Revenue	2,610,100	1,091,521	-	1,518,579	41.8%
Expenditures	3,386,420	885,763	376,700	2,123,956	37.3%
Revenue Less Expenditures	(776,320)	205,758	(376,700)	(605,377)	
SOLID WASTE PROGRAM					
Revenue	18,614,209	5,740,868	-	12,873,341	30.8%
Expenditures	18,713,657	5,999,644	143,820	12,570,193	32.8%
Revenue Less Expenditures	(99,448)	(258,776)	(143,820)	303,148	
COMM.DEVELOPMENT BLOCK GRANT					
Revenue	3,244,916	756,961	-	2,487,955	23.3%
Expenditures	3,121,049	255,775	27,129	2,838,145	9.1%
Revenue Less Expenditures	123,867	501,186	(27,129)	(350,190)	
COUNTY LIBRARY					
Revenue	1,703,932	544,554	-	1,159,378	32.0%
Expenditures	1,765,938	553,554	20,137	1,192,247	32.5%
Revenue Less Expenditures	(62,006)	(9,000)	(20,137)	(32,869)	
STREETS FUND					
Revenue	9,570,982	3,059,596	-	6,511,386	32.0%
Expenditures	14,093,195	3,713,554	886,457	9,493,184	32.6%
Revenue Less Expenditures	(4,522,213)	(653,958)	(886,457)	(2,981,798)	
MEASURE "D"					
Revenue	4,884,000	1,259,683	-	3,624,317	25.8%
Expenditures	9,067,069	863,822	2,842,108	5,361,139	40.9%
Revenue Less Expenditures	(4,183,069)	395,861	(2,842,108)	(1,736,822)	

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

WATER OPERATING FUND

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Water Sales - Metered	29,850,000	11,383,295	-	18,466,705	38.1%	11,534,840
Service Charges	385,000	138,727	-	246,273	36.0%	131,140
Cater JPA Treatment Charges	2,200,000	1,000,014	-	1,199,986	45.5%	776,123
Licenses & Permits	(2,500)	-	-	(2,500)	0.0%	-
Investment Income	1,008,000	398,643	-	609,357	39.5%	535,277
Grants	36,098	24,243	-	11,855	67.2%	-
Reimbursements	18,000	-	-	18,000	0.0%	-
Miscellaneous	693,698	235,501	-	458,197	33.9%	147,277
TOTAL REVENUES	34,188,296	13,180,422	-	21,007,873	38.6%	13,124,657
EXPENSES						
Salaries & Benefits	7,599,922	2,426,953	-	5,172,969	31.9%	2,342,918
Materials, Supplies & Services	10,540,950	2,408,540	2,974,178	5,158,232	51.1%	2,805,383
Special Projects	646,774	28,670	73,787	544,317	15.8%	38,869
Water Purchases	7,776,465	2,527,261	43,702	5,205,502	33.1%	2,531,278
Debt Service	5,094,672	1,758,617	-	3,336,055	34.5%	1,734,144
Capital Outlay Transfers	5,302,492	1,767,497	-	3,534,995	33.3%	2,720,743
Equipment	197,459	32,612	9,304	155,543	21.2%	3,425
Capitalized Fixed Assets	109,900	639	1,874	107,388	2.3%	7,516
Other	-	54	-	(54)	100.0%	20,328
Appropriated Reserve	150,000	-	-	150,000	0.0%	-
TOTAL EXPENSES	37,418,635	10,950,844	3,102,845	23,364,945	37.6%	12,204,604

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 Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

WASTEWATER OPERATING FUND

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Service Charges	14,010,000	4,809,727	-	9,200,273	34.3%	4,749,348
Fees	410,000	231,971	-	178,029	56.6%	192,614
Investment Income	325,000	140,641	-	184,359	43.3%	188,662
Miscellaneous	83,850	9,800	-	74,050	11.7%	95,606
TOTAL REVENUES	14,828,850	5,192,140	-	9,636,710	35.0%	5,226,229
EXPENSES						
Salaries & Benefits	5,125,324	1,648,364	-	3,476,960	32.2%	1,634,952
Materials, Supplies & Services	5,733,089	1,485,402	1,580,102	2,667,585	53.5%	1,378,324
Special Projects	711,367	246,541	-	464,826	34.7%	381,376
Transfers-Out	65,000	21,667	-	43,333	33.3%	-
Debt Service	1,354,888	2,630	-	1,352,258	0.2%	2,646
Capital Outlay Transfers	2,827,188	942,396	-	1,884,792	33.3%	812,107
Equipment	50,167	470	5,922	43,775	12.7%	7,342
Capitalized Fixed Assets	53,265	639	1,874	50,752	4.7%	9,582
Appropriated Reserve	150,000	-	-	150,000	0.0%	-
TOTAL EXPENSES	16,070,288	4,348,110	1,587,897	10,134,281	36.9%	4,226,329

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 Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

DOWNTOWN PARKING

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Improvement Tax	875,000	334,607	-	540,393	38.2%	337,439
Parking Fees	5,552,550	1,901,027	-	3,651,523	34.2%	1,764,861
Investment Income	202,500	75,920	-	126,580	37.5%	125,841
Rents & Concessions	23,740	23,740	-	-	100.0%	-
Reimbursements	50,000	-	-	50,000	0.0%	-
Miscellaneous	15,000	1,000	-	14,000	6.7%	56,949
Operating Transfers-In	43,500	43,500	-	-	100.0%	43,500
TOTAL REVENUES	6,762,290	2,379,794	-	4,382,496	35.2%	2,328,590
EXPENSES						
Salaries & Benefits	3,724,389	1,218,998	-	2,505,391	32.7%	1,220,749
Materials, Supplies & Services	1,978,278	482,775	163,821	1,331,683	32.7%	557,073
Special Projects	846,410	307,701	438,706	100,002	88.2%	260,757
Transfers-Out	312,621	104,207	-	208,414	33.3%	-
Capital Outlay Transfers	1,258,760	419,587	-	839,173	33.3%	34,078
Equipment	25,000	-	2,800	22,200	11.2%	88
Capitalized Fixed Assets	-	-	3,500	(3,500)	100.0%	411,731
Appropriated Reserve	50,000	-	-	50,000	0.0%	-
TOTAL EXPENSES	8,195,457	2,533,268	608,827	5,053,363	38.3%	2,484,474

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

AIRPORT OPERATING FUND

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Leases - Commercial / Industrial	3,893,750	1,392,494	-	2,501,256	35.8%	1,451,241
Leases - Terminal	4,853,050	1,609,144	-	3,243,906	33.2%	1,674,977
Leases - Non-Commerical Aviation	1,075,875	376,836	-	699,039	35.0%	414,601
Leases - Commerical Aviation	2,113,451	702,730	-	1,410,721	33.3%	786,544
Investment Income	310,000	117,552	-	192,448	37.9%	196,314
Miscellaneous	194,552	31,851	-	162,701	16.4%	122,500
TOTAL REVENUES	12,440,678	4,230,609	-	8,210,069	34.0%	4,646,176
EXPENSES						
Salaries & Benefits	4,780,946	1,575,525	-	3,205,421	33.0%	1,556,728
Materials, Supplies & Services	6,211,961	1,837,675	710,026	3,664,259	41.0%	2,077,767
Special Projects	742,838	165,999	-	576,839	22.3%	140,856
Transfers-Out	7,351	-	-	7,351	0.0%	-
Capital Outlay Transfers	675,240	217,023	-	458,217	32.1%	1,015,556
Equipment	34,212	17,687	-	16,525	51.7%	23,007
Capitalized Fixed Assets	-	-	-	-	100.0%	38,214
Appropriated Reserve	271,045	-	-	271,045	0.0%	-
TOTAL EXPENSES	12,723,593	3,813,909	710,026	8,199,657	35.6%	4,852,128

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 Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

GOLF COURSE FUND

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Fees & Card Sales	1,802,397	517,078	-	1,285,319	28.7%	693,553
Investment Income	28,300	13,431	-	14,869	47.5%	17,499
Rents & Concessions	299,741	111,733	-	188,008	37.3%	109,470
Miscellaneous	250,000	3,134	-	246,866	1.3%	25,126
TOTAL REVENUES	2,380,438	645,376	-	1,735,062	27.1%	845,649
EXPENSES						
Salaries & Benefits	1,137,368	384,799	-	752,569	33.8%	411,500
Materials, Supplies & Services	577,822	196,331	127,099	254,392	56.0%	267,997
Special Projects	31,190	976	9,524	20,690	33.7%	34,918
Debt Service	219,058	156,529	-	62,529	71.5%	155,696
Capital Outlay Transfers	303,553	184	-	303,369	0.1%	17,070
Equipment	8,400	-	-	8,400	0.0%	-
Capitalized Fixed Assets	507,767	217,776	288,834	1,157	99.8%	455,671
TOTAL EXPENSES	2,785,158	956,595	425,458	1,403,105	49.6%	1,342,851

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

INTRA-CITY SERVICE FUND

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Vehicle Maintenance Charges	-	-	-	-	100.0%	887,486
Work Orders - Bldg Maint.	3,808,159	1,135,518	-	2,672,641	29.8%	1,282,940
Grants	818,200	818,200	-	-	100.0%	-
Service Charges	1,728,719	576,240	-	1,152,479	33.3%	560,066
Miscellaneous	-	41	-	(41)	100.0%	94,441
Operating Transfers-In	65,000	21,667	-	43,333	33.3%	-
TOTAL REVENUES	6,420,078	2,551,665	-	3,868,413	39.7%	2,824,933
EXPENSES						
Salaries & Benefits	3,208,250	985,921	-	2,222,329	30.7%	1,442,642
Materials, Supplies & Services	919,270	285,394	87,444	546,431	40.6%	810,430
Special Projects	1,686,832	304,902	490,630	891,301	47.2%	406,946
Capital Outlay Transfers	829	276	-	553	33.3%	1,603
Equipment	23,000	-	-	23,000	0.0%	7,367
Capitalized Fixed Assets	843,724	383	77,091	766,250	9.2%	36,170
TOTAL EXPENSES	6,681,905	1,576,876	655,165	4,449,864	33.4%	2,705,157

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

FLEET REPLACEMENT FUND

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Vehicle Rental Charges	1,343,020	447,673	-	895,347	33.3%	617,433
Investment Income	194,000	72,415	-	121,585	37.3%	101,222
Rents & Concessions	242,848	80,949	-	161,899	33.3%	89,414
Miscellaneous	-	33,885	-	(33,885)	100.0%	24,542
TOTAL REVENUES	1,779,868	634,923	-	1,144,945	35.7%	832,610
EXPENSES						
Salaries & Benefits	162,092	51,285	-	110,807	31.6%	39,193
Materials, Supplies & Services	1,120	373	-	747	33.3%	366
Capitalized Fixed Assets	3,658,662	308,308	1,135,846	2,214,509	39.5%	550,591
TOTAL EXPENSES	3,821,874	359,966	1,135,846	2,326,062	39.1%	590,150

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

FLEET MAINTENANCE FUND

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Vehicle Maintenance Charges	2,515,663	838,554	-	1,677,109	33.3%	-
Miscellaneous	50,000	-	-	50,000	0.0%	-
TOTAL REVENUES	2,565,663	838,554	-	1,727,109	32.7%	-
EXPENSES						
Salaries & Benefits	1,224,737	387,463	-	837,274	31.6%	-
Materials, Supplies & Services	1,367,766	303,102	149,853	914,811	33.1%	-
Special Projects	60,625	4,781	20,753	35,091	42.1%	-
Equipment	14,000	-	-	14,000	0.0%	-
TOTAL EXPENSES	2,667,128	695,346	170,606	1,801,177	32.5%	-

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

SELF INSURANCE TRUST FUND

	** Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Insurance Premiums	2,950,613	983,538	-	1,967,075	33.3%	1,065,813
Workers' Compensation Premiums	2,482,928	827,643	-	1,655,285	33.3%	535,834
OSH Charges	302,518	100,839	-	201,679	33.3%	97,447
Investment Income	337,615	116,339	-	221,276	34.5%	158,767
Miscellaneous	-	2,403	-	(2,403)	100.0%	321,413
Accel - Return of Premium	-	-	-	-	100.0%	750,000
TOTAL REVENUES	6,073,674	2,030,761	-	4,042,913	33.4%	2,929,275
EXPENSES						
Salaries & Benefits	600,672	182,403	-	418,269	30.4%	170,132
Materials, Supplies & Services	5,590,392	1,416,526	246,570	3,927,296	29.7%	1,270,861
Transfers-Out	-	-	-	-	100.0%	1,589,853
Capital Outlay Transfers	1,105	368	-	737	33.3%	2,137
Equipment	4,000	-	-	4,000	0.0%	-
Appropriated Reserve	23,671	-	-	23,671	0.0%	-
TOTAL EXPENSES	6,219,840	1,599,298	246,570	4,373,973	29.7%	3,032,983

*** 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 Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

INFORMATION SYSTEMS ICS FUND

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Service charges	2,435,147	814,743	-	1,620,404	33.5%	849,608
Miscellaneous	-	226	-	(226)	100.0%	10,526
TOTAL REVENUES	2,435,147	814,970	-	1,620,177	33.5%	860,133
EXPENSES						
Salaries & Benefits	1,537,067	497,753	-	1,039,314	32.4%	569,343
Materials, Supplies & Services	598,350	179,307	268,813	150,230	74.9%	211,451
Special Projects	1,700	834	3,377	(2,512)	247.7%	164
Capital Outlay Transfers	-	-	-	-	100.0%	28,333
Equipment	408,269	20,558	196,191	191,519	53.1%	974
Capitalized Fixed Assets	-	-	-	-	100.0%	488
Appropriated Reserve	84,895	-	-	84,895	0.0%	-
TOTAL EXPENSES	2,630,280	698,452	468,381	1,463,447	44.4%	810,754

CITY OF SANTA BARBARA
Interim Statement of Revenues and Expenses
For the Four Months Ended October 31, 2009 (33.3% of Fiscal Year)

WATERFRONT FUND

	Annual Budget	YTD Actual	Encum-brances	Remaining Balance	Percent of Budget	Previous YTD
REVENUES						
Leases - Commercial	1,482,056	567,948	-	914,108	38.3%	617,486
Leases - Food Service	2,393,380	883,946	-	1,509,434	36.9%	950,158
Slip Rental Fees	3,676,785	1,218,927	-	2,457,858	33.2%	1,178,313
Visitors Fees	700,000	224,097	-	475,903	32.0%	194,761
Slip Transfer Fees	250,000	204,875	-	45,125	82.0%	122,075
Parking Revenue	1,885,098	805,893	-	1,079,205	42.8%	642,062
Wharf Parking	268,749	93,162	-	175,587	34.7%	85,433
Other Fees & Charges	364,909	125,077	-	239,832	34.3%	130,105
Investment Income	125,000	105,643	-	19,357	84.5%	140,678
Rents & Concessions	279,322	106,568	-	172,755	38.2%	95,681
Miscellaneous	97,049	96,510	-	539	99.4%	137,534
TOTAL REVENUES	11,522,348	4,432,646	-	7,089,702	38.5%	4,294,286
EXPENSES						
Salaries & Benefits	5,530,336	1,868,504	-	3,661,832	33.8%	1,850,525
Materials, Supplies & Services	3,416,967	971,513	657,173	1,788,281	47.7%	1,020,566
Special Projects	122,559	31,675	3,000	87,884	28.3%	10,168
Debt Service	1,673,572	1,109,556	-	564,016	66.3%	1,097,209
Capital Outlay Transfers	1,131,381	377,127	-	754,254	33.3%	351,666
Equipment	86,445	4,918	3,258	78,269	9.5%	9,278
Appropriated Reserve	100,000	-	-	100,000	0.0%	-
TOTAL EXPENSES	12,061,259	4,363,293	663,431	7,034,535	41.7%	4,339,413

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.

Agenda Item No._____

File Code No. 260.02

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: Treasury Division, Finance Department

SUBJECT: November 2009 Investment Report

RECOMMENDATION:

That Council accept the November 2009 Investment Report.

DISCUSSION:

The attached investment report includes Investment Activity, Interest Revenue, a Summary of Cash and Investments, and Investment Portfolio detail as of November 30, 2009.

ATTACHMENT: November 2009 Investment Report

PREPARED BY: Jill Taura, Treasury Manager

SUBMITTED BY: Robert Samario, Interim Finance Director

APPROVED BY: City Administrator's Office

CITY OF SANTA BARBARA
Activity and Interest Report
November 30, 2009

INVESTMENT ACTIVITY

PURCHASES OR DEPOSITS

11/2	LAIF Deposit - City	$	2,000,000
11/3	LAIF Deposit - City		1,500,000
11/16	LAIF Deposit - City		2,000,000
11/18	Montecito Bank & Trust CD		2,000,000
11/18	Montecito Bank & Trust CD		2,000,000
11/23	LAIF Deposit - City		3,500,000
	Total	**$**	**13,000,000**

SALES, MATURITIES, CALLS OR WITHDRAWALS

11/3	Federal Home Loan Bank (FHLB) Maturity	$	(2,000,000)
11/5	LAIF Withdrawal/City		(3,500,000)
11/12	LAIF Withdrawal/City		(1,000,000)
11/18	Montecito Bank & Trust CD Maturity		(2,000,000)
11/18	LAIF Withdrawal/City		(3,000,000)
11/19	LAIF Withdrawal/City		(1,000,000)
11/20	Federal National Mortgage Assn. (FNMA) Call		(2,000,000)
11/24	LAIF Withdrawal/City		(500,000)
	Total	**$**	**(15,000,000)**

ACTIVITY TOTAL	**$**	**(2,000,000)**

INTEREST REVENUE

POOLED INVESTMENTS

Interest Earned on Investments	$	346,745
Amortization		4,477
SBB&T Sweep Account Interest		81
Total	**$**	**351,304**

RDA INVESTMENTS

Interest Earned on Investments (LAIF)	**$**	**12,605**

TOTAL INTEREST EARNED	**$**	**363,909**

Attachment

CITY OF SANTA BARBARA
Summary of Cash and Investments
November 30, 2009

ENDING BALANCE AS OF OCTOBER 31, 2009

Description	Book Value	Yield to Maturity (365 days)	Percent of Portfolio	Average Days to Maturity
State of California LAIF	$ 44,600,000	0.650%	27.70%	1
Certificates of Deposit	2,000,000	2.500%	1.24%	17
Federal Agency Issues - Coupon	96,874,856	3.312%	60.16%	952
Corporate/Medium Term Notes	10,256,471	4.797%	6.37%	276
	153,731,327	2.628%	95.47%	618
SB Airport Promissory Note	7,300,000	7.000%	4.53%	7,181
Totals and Averages	$ 161,031,327	2.826%	100.00%	917
SBB&T Money Market Account	3,559,547			
Total Cash and Investments	**$ 164,590,874**			

NET CASH AND INVESTMENT ACTIVITY FOR NOVEMBER 2009 **$ (3,592,054)**

ENDING BALANCE AS OF NOVEMBER 30, 2009

Description	Book Value	Yield to Maturity (365 days)	Percent of Portfolio	Average Days to Maturity	
State of California LAIF	$ 44,600,000	0.611%	28.04%	1	(1)
Certificates of Deposit	4,000,000	1.500%	2.52%	535	
Federal Agency Issues - Coupon	92,879,248	3.272%	58.40%	926	
Corporate/Medium Term Notes	10,256,556	4.797%	6.45%	246	
	151,735,804	2.546%	95.41%	598	
SB Airport Promissory Note	7,300,000	7.000%	4.59%	7,151	
Totals and Averages	$ 159,035,804	2.751%	100.00%	898	
SBB&T Money Market Account	1,963,016				
Total Cash and Investments	**$ 160,998,820**				

Note:

(1) The average life of the LAIF portfolio as of November 30, 2009 is 232 days.

CITY OF SANTA BARBARA
Investment Portfolio
November 30, 2009

DESCRIPTION	PURCHASE DATE	MATURITY DATE	QUALITY RATING MOODY'S	QUALITY RATING S & P	STATED RATE	YIELD AT 365	FACE VALUE	BOOK VALUE	MARKET VALUE	BOOK GAIN/(LOSS)	COMMENTS
LOCAL AGENCY INVESTMENT FUNDS											
LOCAL AGENCY INVESTMENT FUND	-	-	-	-	0.611	0.611	19,500,000.00	19,500,000.00	19,500,000.00	0.00	
LOCAL AGENCY INV FUND/RDA	-	-	-	-	0.611	0.611	25,100,000.00	25,100,000.00	25,100,000.00	0.00	
Subtotal, LAIF							44,600,000.00	44,600,000.00	44,600,000.00	0.00	
CERTIFICATES OF DEPOSIT											
MONTECITO BANK & TRUST	11/18/09	11/18/10	-	-	1.250	1.250	2,000,000.00	2,000,000.00	2,000,000.00	0.00	
MONTECITO BANK & TRUST	11/18/09	11/18/11	-	-	1.750	1.750	2,000,000.00	2,000,000.00	2,000,000.00	0.00	
Subtotal, Certificates of deposit							4,000,000.00	4,000,000.00	4,000,000.00	0.00	
FEDERAL AGENCY ISSUES - COUPON											
FEDERAL FARM CREDIT BANK	03/06/09	04/24/12	Aaa	AAA	2.250	2.120	2,000,000.00	2,006,013.46	2,056,250.00	50,236.54	
FEDERAL FARM CREDIT BANK	10/14/09	10/14/14	Aaa	AAA	2.875	2.875	2,000,000.00	2,000,000.00	2,018,440.00	18,440.00	Callable 10/14/10, then cont.
FEDERAL FARM CREDIT BANK	11/07/06	01/18/11	Aaa	AAA	5.750	5.000	2,000,000.00	2,015,078.66	2,120,000.00	104,921.34	
FEDERAL FARM CREDIT BANK	01/29/07	08/25/10	Aaa	AAA	4.750	5.111	2,000,000.00	1,995,200.37	2,064,380.00	69,179.63	
FEDERAL FARM CREDIT BANK	02/01/08	02/01/13	Aaa	AAA	3.790	3.790	2,000,000.00	2,000,000.00	2,011,260.00	11,260.00	Callable 2/01/10, then cont.
FEDERAL FARM CREDIT BANK	03/04/09	03/02/12	Aaa	AAA	2.370	2.370	2,000,000.00	2,000,000.00	2,009,070.00	9,070.00	Callable 3/02/10, then cont.
FEDERAL FARM CREDIT BANK	03/04/09	01/17/12	Aaa	AAA	2.000	2.000	2,000,000.00	2,000,000.00	2,047,820.00	47,820.00	
FEDERAL FARM CREDIT BANK	03/05/09	03/04/13	Aaa	AAA	2.600	2.600	2,000,000.00	2,000,000.00	2,072,190.00	72,190.00	
FEDERAL FARM CREDIT BANK	05/08/09	04/08/13	Aaa	AAA	2.200	2.200	2,000,000.00	2,000,000.00	2,045,940.00	45,940.00	
FEDERAL FARM CREDIT BANK	06/19/09	06/18/12	Aaa	AAA	2.125	2.125	2,000,000.00	2,000,000.00	2,045,010.00	45,010.00	
FEDERAL FARM CREDIT BANK	09/30/09	10/03/11	Aaa	AAA	1.125	1.125	2,000,000.00	2,000,000.00	2,011,560.00	11,560.00	
FEDERAL HOME LOAN BANK	10/25/06	02/12/10	Aaa	AAA	3.875	5.117	1,000,000.00	997,768.91	1,007,190.00	9,421.09	
FEDERAL HOME LOAN BANK	05/22/07	06/10/11	Aaa	AAA	5.250	5.005	2,000,000.00	2,006,664.81	2,137,820.00	131,155.19	
FEDERAL HOME LOAN BANK	07/09/07	02/15/11	Aaa	AAA	4.000	5.308	2,000,000.00	1,971,602.47	2,085,630.00	114,027.53	
FEDERAL HOME LOAN BANK	07/09/07	03/12/10	Aaa	AAA	5.000	5.268	1,000,000.00	999,294.15	1,013,440.00	14,145.85	
FEDERAL HOME LOAN BANK	02/26/09	02/24/14	Aaa	AAA	3.250	3.261	2,000,000.00	1,999,768.16	2,014,380.00	14,611.84	Callable 2/24/10, then qtrly
FEDERAL HOME LOAN BANK	03/04/09	06/08/12	Aaa	AAA	4.375	2.110	1,700,000.00	1,793,236.36	1,822,187.50	28,951.14	
FEDERAL HOME LOAN BANK	06/30/09	06/30/14	Aaa	AAA	2.000	2.000	2,000,000.00	2,000,000.00	2,039,060.00	39,060.00	StrNt, Callable 6/30/11, once
FEDERAL HOME LOAN BANK	09/30/09	09/30/14	Aaa	AAA	2.000	3.448	2,000,000.00	2,000,000.00	2,002,810.00	2,810.00	StrNt, Callable 12/30/09, qtrly
FEDERAL HOME LOAN BANK	09/17/09	12/13/13	Aaa	AAA	3.125	2.440	2,000,000.00	2,052,148.54	2,097,190.00	45,041.46	
FEDERAL HOME LOAN BANK	09/14/06	09/29/10	Aaa	AAA	5.125	5.070	1,000,000.00	1,000,385.04	1,038,285.00	37,899.96	
FEDERAL HOME LOAN BANK	05/23/08	06/10/11	Aaa	AAA	3.125	3.520	2,000,000.00	1,988,619.64	2,070,630.00	82,010.36	
FEDERAL HOME LOAN BANK	11/08/06	07/30/10	Aaa	AAA	5.000	5.010	2,000,000.00	1,999,850.40	2,061,570.00	61,719.60	
FEDERAL HOME LOAN BANK	12/18/06	06/22/10	Aaa	AAA	4.500	4.825	2,000,000.00	1,996,695.59	2,047,190.00	50,494.41	
FEDERAL HOME LOAN BANK	06/18/07	03/12/10	Aaa	AAA	4.875	5.382	2,000,000.00	1,997,372.36	2,026,260.00	28,887.64	
FEDERAL HOME LOAN BANK	06/16/08	12/10/10	Aaa	AAA	3.250	3.800	2,000,000.00	1,989,301.48	2,057,190.00	67,888.52	

CITY OF SANTA BARBARA
Investment Portfolio
November 30, 2009

DESCRIPTION	PURCHASE DATE	MATURITY DATE	QUALITY RATING MOODY'S	QUALITY RATING S & P	STATED RATE	YIELD AT 365	FACE VALUE	BOOK VALUE	MARKET VALUE	BOOK GAIN/(LOSS)	COMMENTS
FEDERAL HOME LOAN BANK	09/17/09	09/13/13	Aaa	AAA	4.375	2.272	2,000,000.00	2,151,299.61	2,195,630.00	44,330.39	
FEDERAL HOME LOAN MTG CORP	04/08/09	04/08/13	Aaa	AAA	2.500	2.526	2,000,000.00	1,998,647.22	2,035,360.00	36,712.78	Callable 4/08/11, once
FEDERAL HOME LOAN MTG CORP	05/19/09	11/19/12	Aaa	AAA	2.170	2.170	2,000,000.00	2,000,000.00	2,031,320.00	31,320.00	Callable 5/19/11, once
FEDERAL HOME LOAN MTG CORP	09/03/09	09/21/12	Aaa	AAA	2.125	1.699	2,000,000.00	2,023,180.33	2,046,870.00	23,689.67	
FEDERAL HOME LOAN MTG CORP	05/13/09	05/13/13	Aaa	AAA	2.400	2.400	2,000,000.00	2,000,000.00	2,040,360.00	40,360.00	Callable 5/13/11, once
FEDERAL HOME LOAN MTG CORP	08/26/09	08/26/14	Aaa	AAA	3.625	3.625	2,000,000.00	2,000,000.00	2,013,740.00	13,740.00	Callable 2/26/10, then qtrly
FEDERAL HOME LOAN MTG CORP	05/29/07	07/06/10	Aaa	AAA	4.500	5.070	2,000,000.00	1,993,752.10	2,048,080.00	54,327.90	
FEDERAL HOME LOAN MTG CORP	07/30/09	01/30/13	Aaa	AAA	2.350	2.350	2,000,000.00	2,000,000.00	2,019,980.00	19,980.00	Callable 7/30/10, once
FEDERAL HOME LOAN MTG CORP	10/28/09	10/28/14	Aaa	AAA	3.000	3.000	2,000,000.00	2,000,000.00	2,014,120.00	14,120.00	Callable 10/28/10, then qtrly
FEDERAL HOME LOAN MTG CORP	06/09/09	08/17/12	Aaa	AAA	1.000	2.420	2,000,000.00	1,926,306.90	1,984,020.00	57,713.10	
FEDERAL HOME LOAN MTG CORP	01/29/07	01/25/10	Aaa	AAA	4.375	5.122	2,000,000.00	1,997,946.39	2,012,180.00	14,233.61	
FEDERAL HOME LOAN MTG CORP	05/22/07	09/17/10	Aaa	AAA	3.880	5.015	2,000,000.00	1,983,548.42	2,054,140.00	70,591.58	
FEDERAL HOME LOAN MTG CORP	04/29/09	10/29/12	Aaa	AAA	2.250	2.250	2,000,000.00	2,000,000.00	2,029,280.00	29,280.00	Callable 10/29/10, once
FEDERAL NATL MORTGAGE ASSN	03/18/09	09/18/12	Aaa	AAA	2.500	2.500	2,000,000.00	2,000,000.00	2,046,560.00	46,560.00	Callable 3/18/11, once
FEDERAL NATL MORTGAGE ASSN	03/23/09	03/23/12	Aaa	AAA	2.000	2.000	2,000,000.00	2,000,000.00	2,019,070.00	19,070.00	StrNt, Callable 9/23/10, once
FEDERAL NATL MORTGAGE ASSN	05/04/09	05/04/12	Aaa	AAA	2.150	2.185	2,000,000.00	1,999,150.00	2,013,440.00	14,290.00	Callable 5/04/10, once
FEDERAL NATL MORTGAGE ASSN	09/09/09	09/09/14	Aaa	AAA	3.250	3.250	2,000,000.00	2,000,000.00	2,035,000.00	35,000.00	Callable 9/09/10, once
FEDERAL NATL MORTGAGE ASSN	04/27/06	04/20/10	Aaa	AAA	4.750	5.270	2,000,000.00	1,996,416.85	2,034,070.00	37,653.15	
FEDERAL NATL MORTGAGE ASSN	02/27/09	02/24/12	Aaa	AAA	2.250	2.250	2,000,000.00	2,000,000.00	2,036,250.00	36,250.00	Callable 2/24/11, once
FEDERAL NATL MORTGAGE ASSN	05/20/09	11/20/12	Aaa	AAA	2.250	2.250	2,000,000.00	2,000,000.00	2,014,070.00	14,070.00	Callable 5/20/10, once
FEDERAL NATL MORTGAGE ASSN	10/29/09	10/29/14	Aaa	AAA	2.250	3.304	2,000,000.00	2,000,000.00	2,012,190.00	12,190.00	StrNt, Callable 4/29/10 cont.
FEDERAL NATL MORTGAGE ASSN	03/05/08	03/05/13	Aaa	AAA	4.100	4.100	2,000,000.00	2,000,000.00	2,019,380.00	19,380.00	Callable 3/05/10, once
Subtotal, Federal Agencies							92,700,000.00	92,879,248.22	94,777,862.50	1,898,614.28	
CORPORATE/MEDIUM TERM NOTES											
BERKSHIRE HATHAWAY FIN	01/15/08	01/15/10	Aa2	AAA	4.125	3.630	2,250,000.00	2,251,300.75	2,260,147.50	8,846.75	
GENERAL ELECTRIC CAPITAL CORP	01/10/07	02/22/11	Aa2	AA+	6.125	5.100	2,000,000.00	2,022,353.52	2,116,480.00	94,126.48	
TOYOTA MOTOR CREDIT	10/19/06	03/15/10	Aa1	AA	4.250	5.140	2,000,000.00	1,995,329.33	2,020,720.00	25,390.67	
WELLS FARGO & CO.	05/30/07	01/12/11	A1	AA-	4.875	5.260	2,000,000.00	1,992,244.87	2,077,680.00	85,435.13	
WELLS FARGO & CO.	10/10/06	08/09/10	A1	AA-	4.625	5.000	2,000,000.00	1,995,327.52	2,056,540.00	61,212.48	
Subtotal, Corporate Securities							10,250,000.00	10,256,555.99	10,531,567.50	275,011.51	
SB AIRPORT PROMISSORY NOTE (LT)											
SANTA BARBARA AIRPORT	07/14/09	06/30/29	-	-	7.000	7.000	7,300,000.00	7,300,000.00	7,300,000.00	0.00	
Subtotal, SBA Note							7,300,000.00	7,300,000.00	7,300,000.00	0.00	
TOTALS							158,850,000.00	159,035,804.21	161,209,430.00	2,173,625.79	

Market values have been obtained from the City's safekeeping agent, Santa Barbara Bank and Trust (SBB&T). SBB&T uses Interactive Data Pricing Service, Bloomberg and DTC.

ORDINANCE NO.

AN ORDINANCE OF THE COUNCIL OF THE CITY OF SANTA BARBARA AMENDING CHAPTERS 15.20 AND 15.24 AND TITLE 22 OF THE SANTA BARBARA MUNICIPAL CODE RELATING TO THE PRESERVATION OF TREES AND THE MAINTENANCE OF APPROVED LANDSCAPE PLANS.

THE COUNCIL OF THE CITY OF SANTA BARBARA DOES ORDAIN AS FOLLOWS:

SECTION ONE. Chapter 15.20 of Title 15 of the Santa Barbara Municipal Code is amended to read as follows:

15.20.010 Title.

Recognizing that the urban forest is a valuable asset to the City of Santa Barbara, this chapter shall be known as and may be cited and referred to as the "Street Tree Ordinance of the City of Santa Barbara."

15.20.020 Definitions.

For the purpose of this chapter, certain terms and words are hereby defined as follows:

A. DIRECTOR. The person having control and management of the Parks and Recreation Department of the City or the Director's designated representative.

B. GROUND COVER. Includes grass, turf or perennial plants that normally grow in a prostrate manner so as to conceal, or with the purpose of concealing, the ground surface, and that do not exceed eight inches in height, and that will tolerate light pedestrian traffic.

C. HISTORIC TREE. A tree which has been found by the Parks and Recreation Commission, the Historic Landmarks Commission, or the City Council to be a tree of notable historic interest and has been designated by resolution of the City Council as an "historic tree". For purposes of this definition, trees designated by the City Council as an "historic tree" or an "historic landmark tree" shall be treated as 'historic trees".

D. MAINTENANCE or MAINTAIN. For purposes of this Chapter 15.20, maintenance or maintain shall mean the following: pruning, spraying, bracing, root pruning, staking, fertilizing, watering, treating for disease or injury, and other work performed to promote the health, beauty, or adaptability of trees and shrubs, but shall not include the watering of such trees in residential zones.

E. OFFICIAL TREE. A tree so designated by the Director because of its desirable characteristics of growth and beauty with reference to its crown, root structure, and adaptability to local climatic, soil and street conditions. The Director shall keep a list of official trees.

F. PARKWAY STRIP. Either (i) the area between the curb and sidewalk within a fully improved street right-of-way, or (ii) that area extending six feet from the curb towards the nearest right-of-way line in an area with no sidewalk, or (iii) any area within a street right-of-way in which an official or parkway tree is located.

G. PARKWAY TREE. A tree planted or caused to be planted by the City within a street right-of-way.

H. PUBLIC AREA. Parks, playgrounds, areas around public buildings and all other areas under the supervision and maintenance of the City not including any street right-of-way.

I. SHRUB. Woody vegetation or a woody plant having multiple stems and bearing foliage from the ground level up.

J. SPECIMEN TREE. A tree which has been found by the Parks and Recreation Commission to be of high value because of its type and/or age and which has been designated by resolution of the City Council as a “specimen tree”.

K. STREET. Shall have the meaning set forth in section 28.04.665 of this Code.

L. TREE. A usually tall, woody plant, distinguished from a shrub by having comparatively greater height and, characteristically, a single trunk rather than several stems.

M. TREE WELL. A planting area found in an otherwise paved street right-of-way.

15.20.030 Master Street Tree Plan.

All trees within a parkway strip shall be planted and maintained according to the Master Street Tree Plan adopted by the City Council. The Director shall administer the Master Street Tree Plan and, with the approval of the Parks and Recreation Commission, shall have the authority to amend or add to the Master Street Tree Plan at any time that circumstances make such amendment or addition advisable.

15.20.040 Other Plantings or Improvements in Parkway Strips.

It is unlawful to install or plant in a Parkway Strip any of the following without a written permit from the Director: (i) any tree not designated an official tree in the Master Street Tree Plan; (ii) any other plant whose ultimate growing height is over eight inches; or (iii) any other non-living ground cover. The Parks and Recreation Department shall maintain a list of plant materials which comply with the height requirements of this Title.

15.20.050 Director Authority and Responsibility.

The Director is hereby made responsible for inspection, maintenance, removal and replacement of all trees planted in public areas, parkway strips, and tree wells.

The Director shall have authority to remove or replace any tree or other planted improvements within a parkway strip which does not conform to the "Master Street Tree Plan" or this Title.

The Director shall comply with the pruning standards published by the American National Standards Institute [ANSI A300] and the companion best management practices published by the International Society of Arboriculture in the inspection,

maintenance, removal, and replacement of all trees planted in public areas, parkway strips, and tree wells with the following exceptions: (1) the Director has the discretion to determine whether or not to prepare written objectives or specifications for pruning activities; and (2) the Director has the discretion to determine the appropriate amount of pruning based on a tree's species, age, health, site, or other factors.

15.20.060 Development Activity - Tree Plans.

The applicant for any activity for which approval by the Architectural Board of Review, the Historic Landmarks Commission, the Single Family Design Board, or the Planning Commission is required by City law shall, concurrently with processing of such application, submit to the Director and the appropriate review body plans for the planting of official trees within any parkway strip on or adjacent to the lot, parcel or building site. The Director may designate the species, kind, number, spacing, and method of planting of such trees and may require the inclusion of root inhibiting barriers.

15.20.070 New Subdivisions - Conformity with Master Street Tree Plan.

No subdivision shall be approved unless it is found to include planting of official trees within the parkway strips in conformity with the "Master Street Tree Plan" and under the Director's supervision. Any such approval shall assure that the costs of planting and first two years maintenance, including irrigation, for all official trees are borne by the subdivider. The Director may require the posting of a performance bond to secure faithful performance of the planting, maintenance, and irrigation obligations in a manner consistent with the security provisions of the Subdivision Map Act (Government Code section 66499 et seq.).

15.20.080 Street Improvements - Integration of Plans.

Any proposed change in the direction or width of a public street right-of-way or any proposed street improvement shall, where feasible, incorporate plans for installation of parkway strips. Plans and specifications for planting such areas shall be integrated into the general plan of improvements and it shall be the duty of the City Engineer to coordinate the design of such improvements with the Parks and Recreation Department prior to completion of final overall plans.

In order to provide for coordinating the multiple use of all street improvements, plans and specifications for street planting proposed by the Parks and Recreation Department shall be submitted to the City Engineer, Traffic Engineer and City Planner for their recommendations.

15.20.090 Maintenance Responsibility of Property Owner.

An owner of property adjoining a street right-of-way is responsible for maintaining all trees and other vegetation planted between the edge of the pavement nearest said property and the right of way line separating the property from the street, except those trees to be maintained by the Director pursuant to section 15.20.050. This

maintenance obligation shall include keeping such area free from weeds or any obstructions inimical to public safety and or contrary to the Master Street Tree Plan. The placing of tar paper, plastic or other material over the ground, or the use of materials or chemicals intended to permanently sterilize the soil in these areas, is prohibited.

Nothing in this chapter shall be deemed to relieve the owner of any property from the duty to keep the property, including any adjacent sidewalks and parkway strip in front thereof, in a safe condition and so as not to be hazardous to public travel. For purposes hereof, "owner" shall include any occupant of property.

15.20.100 Abatement of Dangerous Conditions - Authority of Director.

The Director may remove a limb from any tree, regardless of the location of such tree, if in the Director's opinion such removal is necessary to maintain the safety of the public right of way. In the event such tree is on private property, the Director shall notify the property owner of the intent to remove a limb by written notice at least ten (10) days prior to such removal and, where possible, obtain the owner's consent for entry upon the property, except in the case of manifest public danger and immediate necessity.

15.20.110 Permit Required for Planting, Maintaining, or Removing any Tree Growing Within a Street Right-of-Way or Public Area.

A. PERMIT REQUIRED. Except for persons acting at the direction of the Director, a written permit shall be required for any person to plant, prune, trim, perform maintenance on, or remove any tree planted in a parkway strip, tree well, public area or street right of way.

B. APPLICATION. Whenever a person desires to plant, prune, trim, perform maintenance on, or remove any tree planted in a parkway strip, tree well, public area or street right of way, an application shall be filed with the Parks and Recreation Department on forms provided for such purpose. The application shall show clearly, by diagram or plot plan and photograph(s), the location and identity of the tree or trees sought to be planted, maintained or removed; the name and address of the applicant; and such other information as indicated on the form provided.

C. PLANTING. When an application proposes the planting of a tree in a parkway strip, tree well, public area or street right of way, the Director shall consider whether the proposed planting conforms to the Master Street Tree Plan. The Director may designate the species, kind, number, spacing, and method of planting of such trees and may require the inclusion of root inhibiting barriers as necessary to conform to the Master Street Tree Plan. The Director may approve, conditionally approve, or deny the application. If the application does not conform to the Master Street Tree Plan or the applicant does not agree to the Director's conditions of approval, the Director shall deny the application.

D. MAINTENANCE. When an application is submitted for maintenance of a tree planted in a parkway strip, tree well, public area or street right of way, the Director shall consider whether the proposed maintenance will benefit the state of the urban forest and may approve, conditionally approve, or deny the application on the basis of that

consideration in the sole discretion of the Director. The Director may require written specifications for the work proposed as part of the permit application.

E. REMOVAL. When an application is submitted for the removal of a tree planted in a parkway strip, tree well, public area or street right of way, the application shall be processed in accordance with the following procedures:

1. Notice. Any tree for which a removal permit has been requested must be posted with notice of the permit request by the Parks and Recreation Department for at least ten (10) days prior to issuing a permit for removal.

2. Administrative Review. The application shall first be reviewed by the Director to consider whether the removal would benefit the state of the urban forest considering the factors specified in paragraphs 3 and 4 below. If the Director finds that the removal is either: (i) beneficial to the state of the urban forest, or (ii) necessary for public safety, the Director may issue the permit. If the Director finds that the removal will not benefit the state of the urban forest and is not necessary for safety, the Director may deny the application. The Director may also refer the application to the Street Tree Advisory Committee for further review consistent with this Section. Except in cases where the Director finds removal is necessary for public safety, the applicant or any interested person may request review of the application by the Street Tree Advisory Committee and the Parks and Recreation Commission as provided in this Section.

3. Street Tree Advisory Committee. If the application is referred to the Street Tree Advisory Committee by the Director or at the request of the applicant or any interested person, the application shall be presented to the Street Tree Advisory Committee at the next available meeting of the Committee. The Street Tree Advisory Committee shall consider the application and make a recommendation to the Parks and Recreation Commission to approve, conditionally approve, or deny the application. When making its recommendation, the Street Tree Advisory Committee shall consider the following factors:

a. Whether such tree is designated as an historic or specimen tree;

b. Whether the tree species and placement conforms to the “Master Street Tree Plan;”

c. The condition and structure of the tree and the potential for proper tree growth and development of the tree canopy;

d. The number and location of adjacent trees on City property and the possibility of maintaining desirable tree density in the area through additional planting on City property; and

e. Any beneficial effects upon adjacent trees to be expected from the proposed removal.

4. Parks and Recreation Commission. Once the Street Tree Advisory Committee has made its recommendation, the application and the Street Tree Advisory Committee’s recommendation shall be presented to the Parks and Recreation Commission at the next available meeting of the Commission. After receiving the recommendation of the Street Tree Advisory Committee and a recommendation from the Director, the Parks and Recreation Commission shall approve, conditionally approve, or deny the application. When making its decision, the Parks and Recreation Commission shall consider the following factors:

a. Whether such tree is designated as an historic or specimen tree;

b. Whether the tree species and placement conforms to the “Master Street Tree Plan;”

c. The condition and structure of the tree and the potential for proper tree growth and development of the tree canopy;

d. The number and location of adjacent trees on City property and the possibility of maintaining desirable tree density in the area through additional planting on City property; and

e. Any beneficial effects upon adjacent trees to be expected from the proposed removal.

15.20.115 Work Without a Permit - Unlawful Acts.

It is unlawful for any person, except a person acting at the direction of the Director, to plant, prune, trim, perform maintenance on, or remove any tree planted in a parkway strip, tree well, public area or street right of way without the permit required pursuant to Section 15.20.110 of this Code.

15.20.120 Permit for Maintenance or Removal - Time Limit.

Any work authorized by a permit shall be done under the general supervision of the Director and in accordance with rules established by the Director. All costs incurred in maintaining or removing a tree as permitted pursuant to this Chapter 15.20 shall be borne by the permittee. When a tree is removed under permit, the Director or Parks and Recreation Commission may require a replacement tree to be planted, and all costs related to the replacement tree shall be borne by the permittee.

15.20.130 Conditions of Approval for Maintenance or Removal.

Any person, business, or corporation who receives a permit to maintain or remove an official or parkway tree shall comply with all of the following conditions:

A. Carry public liability and property damage insurance in an amount to be determined by the City Council and maintain a current certificate of such insurance on file with the City Clerk.

B. Conduct all maintenance activities in compliance with the current pruning standards published by the American National Standards Institute [ANSI A300] and the companion best management practices published by the International Society of Arboriculture. The Director or the Parks and Recreation Commission may require written specifications for the work proposed as a condition of the permit.

C. Post a performance bond in the amount equal to the cost of a proposed job, if required by the Director.

15.20.140 Interference with Work Prohibited.

No person shall interfere, or cause any person to interfere with, any work being done under provisions of this chapter by any employee of the City or any person or firm doing work for the City on bid, hire or assignment.

15.20.150 Injuring Trees - Unlawful Acts.

It is unlawful for any person to injure or destroy any tree growing within a City street right-of-way or in public areas by any means, including, but not limited to the following:

A. Constructing a concrete, asphalt, brick or gravel sidewalk or otherwise filling up the ground area around any tree so as to substantially shut off air, light or water from its roots;

B. Piling building equipment, material or any other substance around any tree so as to cause injury;

C. Pouring any deleterious matter on or around any tree or on the surrounding ground, lawn or sidewalk;

D. Posting any sign, poster, notice or otherwise on any tree, tree stake or guard, or fastening any guy wire, cable, rope, nails, screws or other device to any tree, tree stake or guard without having first obtained a permit from the Director;

E. Causing any wire charged with electricity to come in contact with any tree without having first obtained a permit from the Director;

F. Causing any fire or burning near or around any tree.

15.20.160 Appeals to Parks and Recreation Commission.

Any applicant or interested person may appeal a decision of the Director regarding a permit required for planting or maintaining a tree in a street right-of-way or public area by filing a written notice thereof with the Parks and Recreation Department within ten days after such decision is made. Implementation of the decision shall be stayed during the pendency of the appeal. The notice shall clearly specify the reasons for the appeal. The appeal shall be placed on the agenda of the Parks and Recreation Commission at its next available meeting. The Parks and Recreation Commission shall make a ruling based on the evidence presented, and may sustain, modify or reverse the decision of the Director.

15.20.170 Appeals to City Council.

Any action of the Parks and Recreation Commission made pursuant to this Chapter 15.20 may be appealed to the City Council pursuant to the provisions of Section 1.30.050 of this Code.

15.20.180 Designation of "Specimen" and "Historic" Trees.

Any recommendation by the Parks and Recreation Commission or the Historic Landmarks Commission to City Council for the designation of a "Specimen" or "Historic" tree shall be preceded by two public hearings, which shall be at least 30 days apart.

SECTION TWO. Chapter 15.24 of Title 15 of the Santa Barbara Municipal Code is amended to read as follows:

15.24.001 Title.

Recognizing that trees on private property can make valuable contributions to the urban forest of the City of Santa Barbara, this chapter shall be known as and may be cited and referred to as the "Tree Preservation Ordinance of the City of Santa Barbara."

15.24.002 Use of American National Standards Institute Pruning Standards.

The City follows the pruning standards published by the American National Standards Institute [ANSI A300] and the companion best management practices published by the International Society of Arboriculture in the care and maintenance of City trees. The City encourages residents to utilize and follow the current standards and best management practices in the care and maintenance of their trees.

15.24.010 Definitions.

For the purpose of this Chapter, certain terms and words are hereby defined as follows:

A. TREE. A usually tall, woody plant, distinguished from a shrub by having comparatively greater height and, characteristically, a single trunk rather than several stems;

B. PALM TREE. Any tree from the Palmae plant family;

C. SPECIMEN TREE. Any tree which has been found by the Parks and Recreation Commission to be of high value because of its type and/or age and which has been designated by resolution of the City Council as a "specimen tree";

D. HISTORIC TREE. A tree which has been found by the Parks and Recreation Commission, the Historic Landmarks Commission or the City Council to be a tree of notable historic interest and has been designated by resolution of the City Council as an "historic tree". For purposes of this definition, trees designated by the City Council as an “historic tree” or an “historic landmark tree” shall be treated as ‘historic trees”;

E. DIRECTOR. The Director of the City’s Parks and Recreation Department or the Director’s designated representative.

F. REMOVE A TREE. To cut a tree down or to otherwise remove a tree from its location by any means.

G. SETBACK TREE. A tree located in the front setback of any lot as the term front setback is defined and specified in Title 28 of this Code, the Zoning Ordinance. A tree is a setback tree if more than 50% of the tree trunk, measured at the highest natural grade adjacent to the trunk, is within the front setback.

H. PARKING LOT TREE. A tree situated in a planter required pursuant to Section 28.90.050 of this Code.

I. SIGNIFICANTLY ALTER A TREE. To prune a tree in such a way that either (i) its natural character is significantly altered, or (ii) the height and/or spread of the tree

crown is reduced by more than one-quarter within any twelve month period.

J. TREE CROWN. The leaves and branches of a tree measured from the lowest branch on the trunk to the top of the tree.

K. TREE ON AN APPROVED PLAN. A tree shown on an approved plan on record with the City for a lot developed with a commercial, multiple-family residential, or industrial use.

15.24.020 Prohibition.

Except as provided in Sections 15.24.030 and 15.24.035, it is unlawful for any person to remove or significantly alter or to authorize or allow the removal or significant alteration of any of the following trees without a permit:

A. A setback tree,
B. A parking lot tree,
C. A tree on an approved plan, or
D. A tree designated as an historic or specimen tree by the City Council.

15.24.030 Lawful Removal of Trees Without a Permit.

Notwithstanding the prohibition specified in Section 15.24.020, a tree that is subject to the prohibition specified in Section 15.24.020 may be lawfully removed without a permit if the tree satisfies any one of the following definitions:

A. The main trunk of the tree is less than four inches (4") in diameter at a point four feet six inches (4’6”) above the highest natural grade adjacent to the trunk;

B. The tree is diseased and the tree’s condition is a source of present danger to healthy trees in the immediate vicinity; provided, a certificate attesting such condition has been filed with the Parks and Recreation Director by a member of the American Society of Consulting Arborists, an arborist certified by the International Society of Arboriculture, or by an authorized employee of the City Parks and Recreation Department at least forty-eight (48) hours prior to the removal of the tree;

C. The tree is so weakened by age, disease, storm, fire, or any injury so as to cause imminent danger to persons or property; provided, prior written notice of such condition has been given to the Parks and Recreation Director at least forty-eight (48) hours prior to the removal of the tree or shorter period if approved by the Parks and Recreation Director;

D. The tree is dead, provided prior written notice of such condition has been given to the Parks and Recreation Director at least forty-eight (48) hours prior to the removal of the tree or shorter period if approved by the Parks and Recreation Director; or

E. The Fire Department has ordered the tree removed in order to maintain required defensible space on the lot or to comply with the City’s Wildland Fire Plan.

If the tree to be removed pursuant to this Section is located on a lot within El Pueblo Viejo Landmark District or the Brinkerhoff Avenue Landmark District and the removal of a tree will significantly affect the exterior visual qualities of the lot, the Park and Recreation Director or the Community Development Director may require the replacement of the tree with a tree approved by the Historic Landmarks Commission.

15.24.035 Lawful Significant Alteration of Trees Without a Permit.

Notwithstanding the prohibition specified in Section 15.24.020, a tree that is subject to the prohibition specified in Section 15.24.020 may be significantly altered without a permit if the tree satisfies either of the following definitions:

A. The tree poses a potential danger to persons or property due to age, disease, storm, fire, or other injury; provided:

1. A written report prepared by a member of the American Society of Consulting Arborists or an arborist certified by the International Society of Arboriculture specifying the reason(s) for the reduction and the extent of the proposed work is filed with the Parks and Recreation Director; and

2. An authorized employee of the City Parks and Recreation Department assesses the condition of the tree and approves the proposed work as comporting with sound arboricultural practices as specified in the American National Standards Institute tree pruning standards [ANSI A300].

B. The City Fire Department has ordered the pruning of the tree in order to maintain required defensible space or to comply with the City's Wildland Fire Plan; provided, the scope of the pruning allowed pursuant to this section is limited to extent of the pruning specified in the Fire Department order that is filed with the Parks and Recreation Director.

15.24.040 Application to Remove a Setback Tree.

When a permit is required for the removal of a setback tree pursuant to this Chapter 15.24, the application for such permit shall be processed as follows (excluding trees on lots within El Pueblo Viejo Landmark District or the Brinkerhoff Avenue Landmark District, which are processed pursuant to Section 15.24.055):

A. APPLICATION. An application shall be filed with the Parks and Recreation Department on forms provided for such purpose. The application shall show the location and identity of the tree or trees sought to be removed by diagram or plot plan and photograph(s), the name and address of the owner, and such other information as indicated on the form provided.

B. STREET TREE ADVISORY COMMITTEE RECOMMENDATION. The application shall be presented to the Street Tree Advisory Committee at the first available meeting of the Committee following receipt of the application. The Street Tree Advisory Committee may receive a report from the Parks and Recreation Director regarding the application and the Committee shall make a recommendation to the Parks and Recreation Commission to approve, conditionally approve, or deny the application based on the considerations specified in Section 15.24.080.

C. DECISION ON APPLICATION. The application shall be presented to the Parks and Recreation Commission at the first available meeting of the Commission after the Street Tree Advisory Committee has made its recommendation. After receiving the recommendation of the Street Tree Advisory Committee and a report from the Parks and Recreation Director, the Parks and Recreation Commission shall approve, conditionally approve, or deny the application. When making its decision, the Parks and Recreation Commission shall consider the factors listed in Section 15.24.080 and make

one or more of the findings specified in Section 15.24.090.

15.24.050 Application to Remove a Parking Lot Tree or a Tree on an Approved Plan.

When a permit is required for the removal of a parking lot tree or a tree on an approved plan pursuant to this Chapter 15.24, the application for such permit shall be processed as follows (excluding trees on lots within El Pueblo Viejo Landmark District or the Brinkerhoff Avenue Landmark District, which are processed pursuant to Section 15.24.055):

A. APPLICATION. An application shall be filed with the Community Development Department on forms provided for such purpose. The application shall show the location and identity of the tree or trees sought to be removed by diagram or plot plan and photograph(s), the name and address of the owner, and such other information as indicated on the form provided.

B. DECISION ON APPLICATION. The application shall be presented to the Architectural Board of Review at the first available meeting of the Board. After receiving a report from the Community Development Director, the Architectural Board of Review shall approve, conditionally approve, or deny the application. When making its decision, the Architectural Board of Review shall consider the factors listed in Section 15.24.080 and make one or more of the findings specified in Section 15.24.090.

15.24.055 Application to Remove a Tree Located in El Pueblo Viejo Landmark District or the Brinkerhoff Avenue Landmark District.

When a permit is required for the removal of a tree pursuant to this Chapter 15.24 and the tree is located on a lot within El Pueblo Viejo Landmark District or the Brinkerhoff Avenue Landmark District (except historic or specimen trees, which are processed pursuant to Section 15.24.060), the application for such permit shall be processed as follows:

A. APPLICATION. An application shall be filed with the Community Development Department on forms provided for such purpose. The application shall show the location and identity of the tree or trees sought to be removed by diagram or plot plan and photograph(s), the name and address of the owner, and such other information as indicated on the form provided.

B. DECISION ON APPLICATION. The application shall be presented to the Historic Landmarks Commission at the first available meeting of the Commission. After receiving a report from the Community Development Director, the Historic Landmarks Commission shall approve, conditionally approve, or deny the application. When making its decision, the Historic Landmarks Commission shall consider the factors listed in Section 15.24.080 and make one or more of the findings specified in Section 15.24.090.

15.24.060 Application to Remove an Historic or Specimen Tree.

When a permit is required for the removal of an historic or specimen tree pursuant to this Chapter 15.24, the application for such permit shall be processed as follows:

A. APPLICATION. An application shall be filed with the Parks and Recreation Department on forms provided for such purpose. The application shall show the location and identity of the tree or trees sought to be removed by diagram or plot plan and photograph(s), the name and address of the owner, and such other information as indicated on the form provided.

B. STREET TREE ADVISORY COMMITTEE RECOMMENDATION. The application shall be presented to the Street Tree Advisory Committee at the first available meeting of the Committee following receipt of the application. The Street Tree Advisory Committee may receive a report from the Parks and Recreation Director regarding the application and the Committee shall make a recommendation to the Parks and Recreation Commission to approve, conditionally approve, or deny the application based on the considerations specified in Section 15.24.080.

C. DECISION ON APPLICATION. The application shall be presented to the Parks and Recreation Commission at the first available meeting of the Commission after the Street Tree Advisory Committee has made its recommendation. After receiving the recommendation of the Street Tree Advisory Committee and a report from the Parks and Recreation Director, the Parks and Recreation Commission shall approve, conditionally approve, or deny the application. When making its decision, the Parks and Recreation Commission shall consider the factors listed in Section 15.24.080 and make one or more of the findings specified in Section 15.24.090.

15.24.070 Action on Permit Application.

As provided in Sections 15.24.040 through 15.24.060 above, the Parks and Recreation Commission, the Historic Landmarks Commission, or the Architectural Board of Review (as applicable) shall vote upon the application within sixty (60) days after it is filed. A majority vote of the members present shall be required to approve a tree removal. A failure to vote to approve, conditionally approve, or deny the application within sixty (60) days shall be deemed an approval of the application without condition. When a decision is made by the appropriate Board or Commission, the City Department processing the application shall notify the applicant in writing of the decision.

15.24.080 Considerations for Removal.

The following considerations shall be taken into account by the Parks and Recreation Commission, the Historic Landmarks Commission, or the Architectural Board of Review, as applicable, in acting upon a tree removal request made pursuant to this chapter:

A. Whether such tree is designated as an historic or specimen tree;

B. The potential size of the tree in relation to the size of the lot or building site and the size of the proposed or existing improvements;

C. The number and size of other trees which would remain upon the building site after the requested removal;

D. The number and location of adjacent trees on City property and the possibility of maintaining desirable tree density in the area through additional planting on City property;

E. Any beneficial effects upon adjacent trees to be expected from the proposed removal;

F. Whether the tree sought to be removed was planted by or with the permission of the applicant or the applicant's co-tenant at the time such tree was planted.

G. The condition and structure of the tree and the potential for proper tree growth and development of the tree canopy.

15.24.090 Findings for Removal.

Before approving or conditionally approving an application for the removal of a tree pursuant to this Chapter 15.24, the Parks and Recreation Commission, the Historic Landmarks Commission, or the Architectural Board of Review, as applicable, shall make one (1) or more of the following findings:

A. That principles of good forest management will best be served by the proposed removal;

B. That a reasonable and practical development of the property on which the tree is located requires removal of the tree or trees whose removal is sought;

C. That the character of the immediate neighborhood with respect to forestation will not be materially affected by the proposed removal;

D. That topography of the building site renders removal desirable;

E. That regard for the safety of persons or property dictates the removal.

15.24.100 Appeals to City Council.

Any action of the Parks and Recreation Commission, the Historic Landmarks Commission, or the Architectural Board of Review made pursuant to this Chapter 15.24 may be appealed to the City Council pursuant to the provisions of Section 1.30.050 of this Code.

15.24.110 Other City Regulations Related to Trees and Landscaping.

For purposes of reference, the following provisions of this Code also concern the maintenance of trees and plants within the City of Santa Barbara:

A. Section 8.04.020.G.5 & 6, Fire Code Vegetation Management and Defensible Space Requirements

B. Chapter 8.20, “Vegetation Obstructing Public Places”

C. Chapter 15.20, “Tree Planting and Maintenance”

D. Chapter 22.10, “Vegetation Removal”

E. Chapter 22.11, “Maintenance of Approved Landscape Plans”

F. Section 22.22.130, “Approval for Construction, Demolition, Moving or Exterior Alteration” (El Pueblo Viejo Landmark District & Brinkerhoff Avenue Landmark District)

G. Chapter 22.68, “Architectural Board of Review” (Landscape Plans)

H. Chapter 22.69, “Single Family Design Board” (Landscape Plans)

I. Chapter 22.76, “View Dispute Resolution Process”
J. Section 28.87.170, “Fences, Walls, Screens and Hedges”
K. Section 28.87.200, “Landscape or Planting Plan Approvals - Standards”
L. Section 28.90.050, “Landscaping and Lighting” (Parking Lot Design Standards)

SECTION THREE. Title 22 of the Santa Barbara Municipal Code is amended to add Chapter 22.11 to read as follows:

22.11.010 General Provisions.

The provisions of this Chapter shall apply as follows:

A. SCOPE OF APPLICATION. The provisions of this Chapter shall apply to the following lots within the City:

1. Any lot developed with a multiple-family residential, commercial, or industrial use; or

2. Any lot developed solely with a single-family residence or a duplex residential unit, where the conditions of approval for the development on the lot require the installation and maintenance of trees or landscaping in accordance with an approved landscape plan.

B. RELATIONSHIP TO CITY TREE PRESERVATION ORDINANCE. If a tree is protected under both Chapter 15.24 and this Chapter 22.11, the alteration or removal of such a tree shall be processed and regulated in accordance with the provisions of Chapter 15.24. Otherwise, any tree shown on an approved landscape plan for a lot subject to this Chapter shall be maintained in accordance with the approved landscape plan and the provisions of this Chapter.

22.11.020 Definitions.

As used in this Chapter, the following terms shall have the indicated meanings:

A. ALTERATION. An alteration shall include, but not be limited to, the addition, placement, replacement, cutting, or removal of trees, plants, or other improvements on an approved landscape (excluding the replacement of trees, plants, or other improvements with trees, plants, or other improvements of substantially similar design, character, and coverage at maturity).

B. APPROVED LANDSCAPE PLAN. Any approved plan on record with the City that shows landscaping or tree improvements on the lot.

C. MAINTENANCE. Maintenance of an approved landscape plan consists of all of the following:

1. Regular watering, pruning, fertilizing, and clearing of debris and weeds in a manner that promotes and maintains the health and natural growing conditions of the trees and plants shown to remain or to be installed on the approved landscape plan.

2. Timely and regular removal of dead trees or plants shown to remain or to be installed on the approved landscape plan and the immediate replacement of such dead trees or plants with new trees or plants of substantially similar design, character, and coverage at maturity as the trees or plants shown to remain or to be installed on the

approved landscape plan. Removal of dead trees may require prior notice to and approval from the Parks and Recreation Director pursuant to Section 15.24.030.

3. Installation, maintenance, repair, and replacement (as necessary) of irrigation systems as specified on the approved landscape plan.

4. Compliance with any additional directions or specifications regarding the maintenance of trees and plants shown to remain or to be installed on the approved landscape plan and the irrigation systems indicated on an approved landscape plan for the lot.

22.11.030 Maintenance Required.

It is unlawful for an owner of a lot subject to the provisions of this Chapter to not maintain the trees, plants, irrigation system, and other improvements shown on an approved landscape plan in accordance with the approved landscape plan and the provisions of this Chapter.

22.11.040 No Alteration of Approved Landscape Plan without a Permit.

It is unlawful for any person to alter or to authorize or allow the alteration of an approved landscape plan for a lot subject to the provisions of this Chapter without the permit required pursuant to Section 22.11.050.

22.11.050 Alterations to Approved Landscape Plans.

Alterations to approved landscape plans for lots subject to the provisions of this Chapter are subject to the following regulations:

A. PERMIT REQUIRED. Except as provided in Subsections C and D of this Section, any alteration to the design, character, plant coverage at maturity, or other improvements specified on an approved landscape plan shall require a permit issued by the Community Development Department.

B. REVIEW AND APPROVAL. An application for a permit to alter an approved landscape plan shall require prior approval from the Historic Landmarks Commission, the Architectural Board of Review, or the Single Family Design Board, depending upon which body approved the landscape plan or which body is responsible for reviewing the development on the lot.

C. SIGNIFICANT ALTERATION OR REMOVAL OF TREES. Any significant alteration or removal of a tree shown on an approved landscape plan for a lot subject to this Chapter shall require compliance with Chapter 15.24 of this Code. For purposes of this subsection C, the significant alteration or removal of a tree is defined as specified in Section 15.24.020 of this Code.

D. EXCEPTIONS.

1. Notwithstanding Subsection A above, a permit is not required for minor alterations, as specified in the administrative procedures for the Historic Landmarks Commission, the Architectural Board of Review, or the Single Family Design Board, as approved by a resolution of the City Council. Minor alterations to approved landscape plans may be approved as a ministerial action by the Community Development Director

(or the Director's designee) without review by the Historic Landmarks Commission, the Architectural Board of Review, or the Single Family Design Board. The Community Development Director or the Director's designee shall have the authority and discretion to refer any minor alteration to the Historic Landmarks Commission, the Architectural Board of Review, or the Single Family Design Board if, in the opinion of the Community Development Director, the alteration has the potential to have an adverse effect on the integrity of the landscape plan.

2. Any alteration to an approved landscape plan for a lot located within El Pueblo Viejo Landmark District or the Brinkerhoff Avenue Landmark District shall be reviewed and approved pursuant to Section 22.22.130 of this Code.

SECTION FOUR. Sections 22.22.080, 22.22.130, 22.22.132, and 22.22.140 of Chapter 22.22 of Title 22 of the Santa Barbara Municipal Code are amended to read as follows:

22.22.080 Demolition, Relocation, or Alteration of a Landmark.

A. **ALTERATIONS TO A CITY LANDMARK – REQUIRED FINDINGS**. No City Landmark shall be altered on the exterior, relocated, or demolished, except where the Historic Landmarks Commission has determined that one or more of the following findings are applicable to the proposed alteration, relocation, or demolition:

1. The exterior alterations are being made primarily for the purposes of restoring the Landmark to its original appearance or in order to substantially aid in the preservation or enhancement of the Landmark.

2. The relocation of the Landmark will substantially aid its long-term preservation or enhancement.

3. The landmark has been damaged by an earthquake, fire, or other similar natural casualty such that its repair or restoration is not reasonably practical or feasible and specific measures have been imposed as pre-conditions on the demolition, which measures mitigate the loss of the Landmark to a less than significant level or which measures are deemed sufficient to warrant a finding of overriding considerations pursuant to the CEQA.

B. **ISSUANCE OF AN APPROVAL FOR THE RELOCATION, DEMOLITION, OR ALTERATION OF A CITY LANDMARK**. In issuing an approval for the alteration of a City Landmark pursuant to this Section, the Commission shall make one or more of the findings required by Subsection (A) hereof in addition to imposing mitigation measures as conditions of approval consistent with such findings.

C. **ALTERATIONS TO A PROPOSED LANDMARK**. No structure, natural feature, or site recommended for designation as a Landmark pursuant to Section 22.22.050 hereof shall be altered on the exterior, relocated, or demolished after adoption by the Commission of a resolution of intention for such designation, except pursuant to the requirements of this Section.

D. **APPEALS TO THE CITY COUNCIL**. A final decision made by the Historic Landmarks Commission pursuant to the provisions of this Section may be appealed to the City Council pursuant to the requirements of Santa Barbara Municipal Code Chapter 1.30. Any decision by the City Council on appeal pursuant to this Section shall comply

with the finding requirements of Subparagraph (A) hereof as well as the applicable requirements and provisions of the California Environmental Quality Act.

E. **SIGNIFICANT PRUNING OR REMOVAL OF AN HISTORIC TREE.** The significant pruning or removal of an historic tree is processed and regulated in accordance with Chapter 15.24 of this Code.

22.22.130 El Pueblo Viejo Landmark District and Brinkerhoff Avenue Landmark District.

A. **APPROVAL FOR CONSTRUCTION, DEMOLITION, MOVING OR EXTERIOR ALTERATION**. No structure or real property in El Pueblo Viejo Landmark District or Brinkerhoff Avenue Landmark District shall be constructed, demolished, moved or altered on its exterior without the approval of the Commission or City Council upon appeal. Minor alterations specified in the Historic Landmarks Commission Rules and Procedures, adopted from time to time by resolution, may be allowed subject to the review of the Community Development Director or his/her representative.

B. **PROCEDURE**. Any application for an approval or permit to construct, demolish, move or alter the exterior of any structure or real property located within El Pueblo Viejo Landmark District or Brinkerhoff Avenue Landmark District, together with plans, elevations and site plans therefore, shall be referred to the Commission for review. A permit shall not be issued without the prior written approval of the Commission or City Council upon appeal. Any change of the exterior color or the outdoor lighting of any structure shall be referred to the Commission for review. If a building permit is not required, there shall not be any exterior alteration or change of exterior color unless there has been a final written approval of the Commission, where required, or the City Council upon appeal. The Commission or City Council on appeal shall not approve issuance of such permit unless the plans conform to the provisions of this Chapter. Any application shall be considered and either approved or disapproved by the Commission at its next regularly scheduled meeting for which an agenda has not been finalized after completion of any required environmental assessment, but may be continued to the next regular meeting. In the absence of timely oral or written objection by the applicant, the Commission may continue consideration of an application to subsequent meetings. In the event an applicant objects to continuance by the Commission and if the Commission takes no action on the application, then the application shall be deemed approved.

C. **SIGN PERMITS**. Signs which have been approved by the Sign Committee or the Commission or City Council upon appeal and for which a valid permit has been issued by the City shall not require a permit or approval under this section. Applications for permits for signs to be erected or altered within El Pueblo Viejo Landmark District and Brinkerhoff Avenue Landmark District shall be considered by the Commission only upon an appeal filed pursuant to Section 22.70.050.I.

D. **PLACEMENT, ALTERATION, OR REMOVAL OF NATURAL FEATURES (INCLUDING TREES) ON PRIVATE PROPERTY.** No natural feature affecting the exterior visual qualities of private property located in El Pueblo Viejo Landmark District or Brinkerhoff Avenue Landmark District (excluding trees listed in Section 15.24.020 of this Code, which are processed pursuant to Chapter 15.24) shall be placed, altered, or

removed without the approval of the Commission or City Council upon appeal. Minor alterations specified in the Historic Landmarks Commission Rules and Procedures, adopted from time to time by resolution, may be allowed subject to the review of the Community Development Director or his or her representative.

22.22.132 Historic Landmarks Commission Notice and Hearing.

A. **PROJECTS THAT REQUIRE PUBLIC HEARING**. Historic Landmarks Commission review of the following projects must be preceded by a noticed public hearing:

1. New single residential units, residential duplexes, multiple residential units, mixed use (residential and non-residential) buildings, or nonresidential buildings,
2. The addition of over 500 square feet of net floor area to a single residential unit or residential duplex,
3. An addition of a new story or an addition to an existing second or higher story of a single residential unit or residential duplex,
4. The addition of over 500 square feet of net floor area or any change that will result in an additional residential unit to a multiple residential unit,
5. Small non-residential additions as defined in Section 28.87.300,
6. Projects involving grading in excess of 250 cubic yards outside the footprint of any main building (soil located within five feet (5’) of an exterior wall of a main building that is excavated and recompacted shall not be included in the calculation of the volume of grading outside the building footprint),
7. Projects involving exterior lighting with the apparent potential to create significant glare on neighboring parcels, or
8. Projects involving the placement or removal of natural features with the apparent potential to significantly alter the exterior visual qualities of real property.

B. **MAILED NOTICE**. Not less than ten calendar days before the date of the hearing required by Subsection A above, the City shall cause written notice of the hearing to be sent by first class mail to the following persons: (1) the applicant and (2) the current record owner (as shown on the latest equalized assessment roll) of any lot, or any portion of a lot, which is located not more than three hundred feet (300') from the exterior boundaries of the lot which is the subject of the action. The written notice shall advise the recipient of the following: (1) the date, time and location of the hearing, (2) the right of the recipient to appear at the hearing and to be heard by the Historic Landmarks Commission, (3) the location of the subject property, and (4) the nature of the application subject to design review.

C. **ADDITIONAL NOTICING METHODS**. In addition to the required mailed notice specified in Subsection B, the City may also require notice of the hearing to be provided by the applicant in any other manner that the City deems necessary or desirable, including, but not limited to, posted notice on the project site and notice delivered to non-owner residents of any of the twenty (20) lots closest to the lot which is the subject of the action. However, the failure of any person or entity to receive notice given pursuant to such additional noticing methods shall not constitute grounds for any court to invalidate the actions of the City for which the notice was given.

D. **PROJECTS REQUIRING DECISIONS BY THE CITY COUNCIL, PLANNING COMMISSION, OR STAFF HEARING OFFICER**. Whenever a project requires another land use decision or approval by the City Council, the Planning Commission, or the Staff Hearing Officer, the mailed notice for the first hearing before the Historic Landmarks Commission shall comply with the notice requirements of this Section or the notice requirements applicable to the other land use decision or approval, whichever are greater. However, nothing in this Section shall require either: 1. notice of any hearing before the Historic Landmarks Commission to be published in a newspaper, or 2. mailed notice of hearings before the Historic Landmarks Commission after the first hearing conducted by the Historic Landmarks Commission, except as otherwise provided in the Historic Landmarks Commission Guidelines adopted by resolution of the City Council.

22.22.140 Publicly Owned Property.

A. **PUBLICLY OWNED BUILDINGS GENERALLY.** Except as provided in Subsections (B) and (C) below, any structure, natural feature, site or area owned or leased by any public entity other than the City of Santa Barbara and designated as a Landmark or Structure of Merit, or located within any landmark district, shall not be subject to the provisions of Sections 22.22.070, 22.22.080, 22.22.104, 22.22.114, 22.22.130, and 22.22.170 of this Chapter.

B. **EXCEPTION FOR CITY FACILITIES**. The alteration, construction or relocation of any structure, natural feature, site or area owned or leased by the City and designated as a Landmark or Structure of Merit, or located within any landmark district, shall be reviewed by the Commission unless the City Council deems that said review would not be in the public interest.

C. **EXCEPTION FOR IMPROVEMENTS WITHIN THE HIGHWAY 101 SANTA BARBARA COASTAL PARKWAY DESIGN DISTRICT**. The alteration, construction or relocation of any structure, natural feature, site or area owned or leased by a public entity within the Highway 101 Santa Barbara Coastal Parkway Special Design District as defined by Municipal Code Section 22.68.060, which requires a Coastal Development Permit pursuant to Municipal Code Chapter 28.44 and which is designated as a Landmark or Structure of Merit, or which is located within any landmark district shall be reviewed by the Commission.

D. **EXCEPTION FOR STREET TREES, CITY TREES, HISTORIC TREES AND SPECIMEN TREES.** Notwithstanding Subsection B above, the placement, alteration, or removal of the following trees shall be processed and regulated as follows:

1. Any tree planted in a parkway strip, tree well, public area, or street right of way owned or maintained by the City is processed and regulated pursuant to Chapter 15.20 of this Code.

2. Any tree designated by a resolution of the City Council as an “historic tree”, an “historic landmark tree” or a “specimen tree” is processed and regulated pursuant to Chapter 15.24.

SECTION FIVE. Section 22.68.020 of Chapter 22.68 of Title 22 of the Santa Barbara Municipal Code is amended to read as follows:

22.68.020 Design Review – Non-Residential and Multi-Family Residential Buildings.

A. **APPROVAL REQUIRED BEFORE ISSUANCE OF PERMIT**. No building permit or grading permit, the application for which is subject to design review by the Architectural Board of Review in accordance with the requirements of this Chapter 22.68, shall be issued without the approval of the Board or the City Council, on appeal.

B. **BUILDING PERMITS - NONRESIDENTIAL, MULTIPLE RESIDENTIAL, DUPLEX, TWO OR MORE DETACHED RESIDENTIAL UNITS AND MIXED USE**. Any application for a building permit to construct, alter, or add to the exterior of a non-residential, multi-family residential, residential duplex or mixed use (residential and non-residential) building or a related accessory structure, or any application which will result in two or more detached residential units on one lot in any zone (other than the Single Family Zones listed in Chapter 28.15 of this Code), shall be referred to the Architectural Board of Review for design review in accordance with the requirements of this Chapter.

C. **SUBDIVISION GRADING PLANS**. All subdivision grading plans involving grading on a lot or lots located in any zone (other than the Single Family Zones listed in Chapter 28.15 of this Code) shall be referred to the Architectural Board of Review for a review of the proposed grading.

D. **GRADING PERMITS**. Any application for a grading permit that proposes grading on any lot (other than a lot located in the Single Family Zones listed in Chapter 28.15 of this Code or a lot that is developed exclusively with a single family residence in any zone) and which application is not submitted in connection with an application for a building permit for the construction or alteration of a building or structure on the same lot shall be referred to the Architectural Board of Review for a review of the proposed grading.

E. **EXTERIOR COLOR**.

1. **New Buildings**. The Architectural Board of Review shall review the exterior color of any new building or structure that is subject to design review by the Architectural Board of Review.

2. **Alterations**. If a change of the exterior color of a building or structure is proposed in connection with another alteration to a building or structure that is subject to design review by the Architectural Board of Review, the Architectural Board of Review shall review the proposed change of color in the course of the design review of the other alteration(s).

3. **Non-Residential Buildings or Structures**. The Architectural Board of Review shall review any change to the exterior color of a non-residential building or related accessory structure whether or not the change of color is proposed in connection with another alteration of the building or structure that is subject to design review by the Architectural Board of Review.

F. **HIGHWAY 101 IMPROVEMENTS**. Improvements to U.S. Highway 101 or appurtenant highway structures which require a Coastal Development Permit pursuant to the City's Certified Local Coastal Program, and which are located within the Highway

101 Santa Barbara Coastal Parkway Special Design District as defined by Municipal Code Section 22.68.060, shall be referred to the Architectural Board of Review for design review, except for improvements to those portions of U.S. Highway 101 and its appurtenant structures that are located within the El Pueblo Viejo Landmark District, which are subject to review by the Historic Landmarks Commission pursuant to SBMC §22.22.140.B.

G. **SUBSTANTIAL ALTERATIONS TO APPROVED LANDSCAPE PLANS FOR LOTS DEVELOPED WITH NONRESIDENTIAL OR MULTI-FAMILY RESIDENTIAL USES.**

The Architectural Board of Review shall review any substantial alteration or deviation from the design, character, plant coverage at maturity, or other improvements specified on an approved landscape plan for any lot within the City of Santa Barbara that is developed with a multiple residential unit, a mixed use development, or a building that is occupied by a nonresidential use whether or not such alteration or deviation to the landscape plan is proposed in connection with an alteration to a building or structure on the lot that is subject to design review by the Architectural Board of Review. Whether a proposed alteration or deviation is substantial shall be determined in accordance with the Architectural Board of Review guidelines.

H. **ARCHITECTURAL BOARD OF REVIEW SUBMITTAL REQUIREMENTS**. Applications for review by the Architectural Board of Review shall be made in writing in such form as is approved by the Community Development Director. No application required to be referred to the Architectural Board of Review shall be considered complete unless accompanied by the application fee in the amount established by resolution of the City Council.

I. **ADMINISTRATIVE REVIEW AND APPROVAL**. Minor design alterations, as specified in the Architectural Board of Review Design Guidelines approved by a resolution of the City Council, may be approved as a ministerial action by the Community Development Director (or the Director's designee) without review by the Architectural Board of Review. The Community Development Director or the Director's designee shall have the authority and discretion to refer any minor design alteration to the Architectural Board of Review if, in the opinion of the Community Development Director, the alteration has the potential to have an adverse effect on the architectural or landscape integrity of the building, structure or surrounding property.

SECTION SIX. Section 22.69.020 of Chapter 22.69 of Title 22 of the Santa Barbara Municipal Code is amended to read as follows:

22.69.020 Neighborhood Preservation - Single Family Residential Unit Design Review.

A. **APPROVAL REQUIRED BEFORE ISSUANCE OF PERMIT**. No building permit, grading permit, vegetation removal permit, or subdivision grading plan, the application for which is subject to the review of the Single Family Design Board pursuant to this Chapter 22.69, shall be issued without the approval of the Board or the City Council, on appeal.

B. **BUILDING PERMITS - SPECIAL DESIGN DISTRICTS**.

1. **Mission Area Special Design District and Lower Riviera Survey Area - Bungalow District**. Applications for building permits to construct, alter, or add to the exterior of a single family residential unit or a related accessory structure on a lot or lots within the Mission Area Special Design District or the Lower Riviera Survey Area - Bungalow District identified in Section 22.68.060 shall be referred to the Single Family Design Board for design review in accordance with the requirements of this Chapter and the approved Single Family Design Board Guidelines.

2. **Hillside Design District**. Applications for building permits to construct, alter, or add to the exterior of a single family residential unit or a related accessory structure on a lot or lots within the Hillside Design District identified in Section 22.68.060 shall be referred to the Single Family Design Board for design review in accordance with the requirements of this Chapter and the approved Single Family Design Board Guidelines if either:

a. The average slope of the lot or the building site is 20% or more as calculated pursuant to Section 28.15.080 of this Code; or

b. The application involves a structural alteration to the roof form or the replacement of the roof covering of a building on the lot.

C. **BUILDING PERMITS - SINGLE FAMILY RESIDENTIAL UNITS**. Applications for building permits to construct, alter, or add to the exterior of a single family residential unit or a related accessory structure on any lot shall be referred to the Single Family Design Board for design review in accordance with the requirements of this Chapter and the Single Family Design Board Guidelines if the project for which the building permit is sought involves any of the following:

1. The construction of a new building or structure where any portion of the proposed construction is either: (i) two or more stories tall, or (ii) seventeen feet (17') or taller in building height (for purposes of this paragraph 1, building height shall be measured from natural grade or finished grade, whichever is lower), or

2. An alteration to an existing building or structure where any portion of the proposed alteration either: (i) alters the second or higher story of the building or structure, or (ii) alters a point on the existing building or structure that is seventeen feet (17') or higher in building height (for purposes of this paragraph 2, building height shall be measured from natural grade or finished grade, whichever is lower), or

3. An addition to an existing building or structure where any part of the proposed addition is either: (i) two or more stories tall, or (ii) seventeen feet (17') or taller in building height (for purposes of this paragraph 3, building height shall be measured from natural grade or finished grade, whichever is lower), or

4. The net floor area of all floors of all existing and new buildings on the lot will exceed four thousand (4,000) square feet as calculated pursuant to Section 28.15.083 of this Code, or

5. The project requires a net floor area modification pursuant to Section 28.92.110.A.6 of this Code, or

6. The construction, alteration, or addition of a deck on the second or higher floor (including roof decks) or a balcony on the second or higher floor of any building that will extend perpendicularly more than three feet (3') from the adjacent exterior wall

or will be more than seven feet (7') in length in the dimension parallel to the adjacent exterior wall, or

7. The construction, alteration, or addition of a retaining wall that is six feet (6') or greater in height, or

8. The construction, alteration, or addition of a wall, fence or gate in the front yard of the lot that is six feet (6') or greater in height, excluding walls, fences, or gates that are constructed along the interior lot lines of the lot, shall be referred to the Single Family Design Board for a review of the proposed wall, fence or gate, or

9. The installation of a manufactured home, mobile home or factory-built home (as those terms are defined in the California Health and Safety Code), subject to the limitations on review specified in Government Code section 65852.3 et seq., or

10. The installation of a single family residential unit that was, as a whole or in part, previously located on another lot, or

11. Grading outside the footprint of the main building on the lot that exceeds either: (i) fifty (50) cubic yards on a lot within the Hillside Design District identified in Section 22.68.060, or (ii) two hundred fifty (250) cubic yards on a lot that is not within the Hillside Design District. For purposes of this paragraph 11, soil located within five feet (5') of an exterior wall of a main building that is excavated and recompacted shall not be included in the calculation of the volume of grading outside the main building footprint.

D. **SUBDIVISION GRADING PLANS**. All subdivision grading plans involving grading on a lot or lots located in any of the single family zones listed in Chapter 28.15 of this Code shall be referred to the Single Family Design Board for a review of the proposed grading.

E. **GRADING PERMITS**. Applications for grading permits that propose grading on a vacant lot or lots located within a single family zone listed in Chapter 28.15 of this Code or on any lot that is developed exclusively with a single family residence and related accessory buildings, and which are not submitted in connection with an application for a building permit for the construction or alteration of a building or structure on the same lot or lots, shall be referred to the Single Family Design Board for a review of the proposed grading.

F. **VEGETATION REMOVAL PERMITS**. Applications for vegetation removal permits pursuant to Chapter 22.10 of this Code on a lot or lots located within a single family zone listed in Chapter 28.15 of this Code, or on any lot that is developed exclusively with a single family residence and related accessory buildings, shall be referred to the Single Family Design Board for a review of the proposed vegetation removal.

G. **RETAINING WALLS**. The following types of retaining wall improvements, if located on a lot or lots within a single family zone listed in Chapter 28.15 of this Code, or on any lot that is developed exclusively with a single family residence and related accessory buildings, shall be referred to the Single Family Design Board for design review of the proposed retaining walls in accordance with the requirements of this Chapter and the approved Single Family Design Board Guidelines:

1. The construction of a retaining wall on a lot or a building site with an average slope of 15% or more (as calculated pursuant to Section 28.15.080 of this Code), or

2. The construction of a retaining wall on a lot that is adjacent to or contains an ocean bluff, or

3. The construction of multiple terracing retaining walls that are not separated by a building or a horizontal distance of more than ten feet (10') where the combined height of the walls exceeds six feet (6').

H. **SUBSTANTIAL ALTERATIONS TO APPROVED LANDSCAPE PLANS.** The Single Family Design Board shall review any substantial alteration or deviation from the design, character, plant coverage at maturity, or other improvements specified on an approved landscape plan for any lot within the City of Santa Barbara that is developed with a single-family residence where the conditions of approval for the development on the lot require the installation and maintenance of trees or landscaping in accordance with an approved landscape plan whether or not such alteration or deviation to the landscape plan is proposed in connection with an alteration to a building or structure on the lot that is subject to design review by the Single Family Design Board. Whether a proposed alteration or deviation is substantial shall be determined in accordance with the Single Family Design guidelines.

I. **SUBMITTAL REQUIREMENTS**. Applications for review by the Single Family Design Board shall be made in writing in such form as is approved by the Director of Community Development. No application shall be considered complete unless accompanied by the application fee in the amount established by resolution of the City Council.

J. **ADMINISTRATIVE APPROVAL**. Minor design alterations, as specified in the Single Family Design Guidelines or the Single Family Design Board Guidelines approved by a resolution of the City Council, may be approved as a ministerial action by the Community Development Director or the Director's designee without review by the Single Family Design Board. The Community Development Director (or the Director's designee) shall have the authority and discretion to refer any minor design alteration to the Single Family Design Board if, in the opinion of the Community Development Director, the alteration has the potential to have an adverse effect on the architectural or landscape integrity of the building, structure or surrounding property.

K. **PRESUMPTION REGARDING PRIOR GRADING, TREE REMOVAL, AND CONSTRUCTION**. There shall be a presumption that any grading, removal of trees, or construction that occurred on the lot within two years prior to the submittal of an application for a building permit to construct, alter, or add to a single family residential unit or a related accessory structure was done in anticipation of such application, and said activities will be included in determining whether the project is subject to review by the Single Family Design Board pursuant to this Chapter. For purposes of this presumption, if the prior work required a permit from the City, the prior work shall not be considered complete unless a final inspection has occurred or a certificate of occupancy has been issued. An applicant has the burden to rebut this presumption with substantial evidence sufficient to convince the Single Family Design Board that such work was not done in an effort to avoid review of the entirety of the project by the Single Family Design Board.

L. **SINGLE FAMILY DESIGN GUIDELINES**. The Single Family Design Guidelines adopted by resolution of the City Council shall provide direction and appropriate guidance to decision makers and City staff in connection with applications reviewed pursuant to this Chapter.

Adoption Draft
Uncodified Ordinance
December 15, 2009

ORDINANCE NO.

AN ORDINANCE OF THE COUNCIL OF THE CITY OF SANTA BARBARA TEMPORARILY SUSPENDING THE OPENING OR OPERATION OF NEW MEDICAL MARIJUANA DISPENSARIES OTHERWISE ALLOWED UNDER SANTA BARBARA MUNICIPAL CODE CHAPTER 28.80 ON AN INTERIM BASIS.

WHEREAS, in 1996, California voters approved Proposition 215, (hereinafter referred to as “The Compassionate Use Act”) which Act legalized the limited use of marijuana for medical purposes and allowed persons to grow and possess medicinal marijuana based on the recommendation of a licensed physician; and

WHEREAS, in 2003 the California State Legislature enacted supplemental medical marijuana legislation in order to fully implement the Compassionate Use Act (Senate Bill 420 effective January 1, 2004) which was also intended to clarify the application and scope of the Compassionate Use Act and enhance the access of “qualified patients” and “primary caregivers” to medical marijuana through collective or cooperative group cultivation projects; and

WHEREAS, neither the Compassionate Use Act nor Senate Bill 420 expressly allows medical marijuana dispensaries, particularly those that operate on a “for profit” or retail storefront basis and which, while purporting to operate within the SB 420 definition of a “primary caregiver,” actually often only provide marijuana on an over-the-counter or “retail” basis; and

WHEREAS, a proliferation of dispensaries within California has followed the passage of the Compassionate Use Act in 1996 and the enactment of the SB 420 statutes and, in some instances, the spirit and intent of the Compassionate Use Act has apparently been and is being exploited and abused both for profit motivation reasons and for recreational drug abuse by many individuals who improperly obtain marijuana from medical marijuana dispensaries; and

WHEREAS, as pointed out in the Compassionate Use Act Guidelines adopted by the state Attorney General's Office in August 2008, (the California Attorney General's "Guidelines for the Security and Non-Diversion of Marijuana Grown for Medical Use") state law does not specifically or expressly permit Medical Marijuana Dispensaries to operate. According to these Guidelines, the lack of statewide regulations or guidelines has created confusion and hampered the ability of local police and other law enforcement to investigate and prosecute Medical Marijuana Dispensary operators that have been linked to criminal activity, such as selling marijuana for recreational use and distributing marijuana to individuals who re-sell the marijuana to persons who are not qualified patients or primary caregivers under the Compassionate Use Act; and

WHEREAS, in several recent published decisions issued by the courts, such as *People v. Hochanadel* (98 Cal.Rprt.3d 347 – decided in August 2009) and *People v. Mentch* (85 Cal.Rptr.3d 480 – decided in November 2008), the courts of this state have indicated that Medical Marijuana Dispensaries may only be allowed or permitted by the Compassionate Use Act and the SB 420 statutes under very limited circumstances and they have indicated that cities may regulate medical marijuana dispensaries and enforce the Compassionate Use Act using their local police and enforcement powers; and

WHEREAS, Medical Marijuana Dispensaries have been known to operate and advertise in and or close to schools, to unlawfully sell marijuana for profit, to lack the medical expertise and security to be able to properly dispense marijuana, and to regularly sell marijuana to individuals without any of the required legal medical documentation; and

WHEREAS, The Santa Barbara City Council believes that it should immediately evaluate the impacts of Medical Marijuana Dispensaries on its residents, neighborhoods, and on adjacent legally operated businesses; and

WHEREAS, this interim City ordinance is designed to prevent new Medical Marijuana Dispensaries from opening or operating while an inter-departmental staff group, led by the Community Development Department, the Police Department, and the City Attorney's office, meets with the Council Ordinance Committee in public hearings and the Committee crafts a draft ordinance intended to regulate the operation of medical marijuana dispensaries and establish viable regulations for consideration

by the full City Council, all in the manner allowed under the Compassionate Use Act and the SB 420 statutes; and

WHEREAS, this interim ordinance gives the City the time it needs to undertake the critically important task of developing a comprehensive strategy for regulating Medical Marijuana Dispensaries, thus ensuring that this important legislative opportunity is fully examined in depth while not permitting new Medical Marijuana Dispensaries to be established throughout the City;

NOW THEREFORE, the City Council of the City of Santa Barbara does ordain as follows:

Section One. Findings for an Interim Zoning Ordinance.

The City Council finds and declares that this interim suspension ordinance is required to address a current and immediate threat to the public peace, health, safety and welfare of the residents of the City for all of the reasons stated in the above-recitals as well as for the following reasons:

1. This ordinance will temporarily limit the opening or operation of new Medical Marijuana Dispensaries and will prevent an insufficiently regulated increase in dispensaries pending the City Council consideration and adoption of a long-term and more comprehensive City ordinance regulating the distribution of medical marijuana within the City. Such an ordinance is likely to be more consistent with the City's General Plan (including the proposed new General Plan being prepared and known as Plan Santa Barbara) and the City's Zoning Ordinance, SBMC Title 28, such that the distribution of medical marijuana within Santa Barbara will be more consistent with the City's zoning regulations and with state law.

2. The City staff recommendation that Santa Barbara have a long-term City ordinance truly reflective of the spirit and intent of the Compassionate Use Act and the SB 420 statutes would probably be substantially undermined if new dispensaries are allowed to open or operate pending the public consideration and City Council review of the proposed long-term City ordinance on medical marijuana.

3. The number of dispensaries operating within the City (both legal and illegal) is apparently increasing (as is the number of new of dispensary applications) and the City

Police and City Community Development Departments have received complaints from neighbors, business owners, and concerned citizens regarding the potential negative criminal impacts of some of these dispensaries. Without interim City restrictions on the opening of new dispensaries and on the appropriate location of a dispensary and its hours of operation, the result may be the establishment of dispensaries in close proximity to sensitive uses operating at all hours.

4. This interim ordinance will prevent an insufficiently regulated increase in the number of new dispensaries and will provide the public and the City Council with the appropriate time it needs to determine if the dispensary model of providing access to Medical Marijuana is allowed by state law and, if so, under what circumstances it is allowed. This interim ordinance will also permit the City to develop appropriate regulations relative to the distances permitted dispensaries should be from sensitive uses, and to determine appropriate methods of operation, as well as the circumstance of when and where dispensaries would be compatible with the surrounding uses, and other related land use issues. As such, it is appropriate that this ordinance be adopted on an urgency basis pursuant to the authority of Government Code section 65858.

Section Two. **Interim Prohibition on the Opening or Operation of New Dispensaries**.

Pending the consideration and possible enactment of a comprehensive City revision to Santa Barbara Municipal Code Chapter 28.80 for consistency with the Compassionate Use Act and state law (as well as the state Attorney General’s Compassionate Use Act Guidelines of August 2008), no medical marijuana dispensary or medical cannabis dispensary which has not received its final City land-use approval pursuant to Santa Barbara Municipal Code Chapter 28.80 and also obtained a City building permit for proposed improvements to the Dispensary location prior to or on November 18, 2009 shall open or operate within the City of Santa Barbara while this ordinance remains in effect.

Section Three. **Pending Applications**.

Pending the consideration and possible enactment of a comprehensive City revision to Santa Barbara Municipal Code Chapter 28.80 for consistency with the Compassionate Use Act and

state law (as well as the state Attorney General's Compassionate Use Act Guidelines of August 2008, the Community Development Department may continue to accept and process applications for a dispensary permit pursuant to Santa Barbara Municipal Code Chapter 28.80 and may determine if such applications are complete (as required by the state Permit Streamlining Act) but shall not submit such applications to the Staff Hearing Officer (or the Planning Commission on an appeal) for review and approval or disapproval until the enactment of revisions to Chapter 28.80 or this ordinance is otherwise superseded.

Section Four. Effective Period of Ordinance.

This ordinance shall remain in effect pending the effective date of amendments to Santa Barbara Municipal Code Chapter 28.80 or the required expiration date of this interim ordinance (as provided by state Government Code Section 65858) whichever occurs first.

Swiley/ord/medical.marijuana/suspension-ord-adoption
December 9, 2009

Agenda Item No._____

File Code No. 120.02

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: City Administrator's Office

SUBJECT: Proclamation Guidelines Added To Conduct Of Council Meetings Resolution

RECOMMENDATION:

That Council adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Concerning The Conduct of City Council Meetings Commencing January 12, 2010, and Rescinding Resolution No. 05-073.

DISCUSSION:

On November 24, 2009, Mayor Blum and Councilmembers Francisco and Horton made a request to the City Council for its consideration to establish guidelines and procedures for issuance of proclamations and letters of recognition. At that Council meeting, the Council approved this request. The new guidelines can be found in Section 20 on page 9 of the attached revised resolution.

At this time, Staff is recommending that the Council adopt the new Resolution incorporating these guidelines for Proclamations and Letters of Recognition. Staff has also made several ministerial revisions to the resolution to reflect the current order of business.

PREPARED BY: Linda Gunther, Administrator's Office Supervisor

SUBMITTED BY: Joan Kent, Assistant City Administrator

APPROVED BY: City Administrator's Office

RESOLUTION NO.

A RESOLUTION OF THE COUNCIL OF THE CITY OF SANTA BARBARA CONCERNING THE CONDUCT OF CITY COUNCIL MEETINGS COMMENCING JANUARY 12, 2010~~AUGUST 3, 2005~~, AND RESCINDING RESOLUTION NO. 05-073

WHEREAS, California Government Code Section 54950 et seq., the California Open Meetings Statute, governs the conduct of meetings of local legislative bodies; and

WHEREAS, in addition to complying with the provisions of the Government Code, the City Council establishes policies regarding the Council agenda and conduct of City Council meetings, including time limits on public hearings, order of business, and procedures for addressing the Council.

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

1. Agenda Preparation. Each item of business to be considered at a regular City Council meeting must appear on the agenda for that meeting, except as provided in paragraph 5 of this resolution. The agenda shall include a brief general description of each item of business to be transacted or discussed. The description should be calculated to reasonably inform the public as to the nature of the item. For example, a land use item should include the street address of the property involved and a description of the approvals being sought. All written material pertaining to an item on the agenda of the City Council and which is to be distributed with the agenda shall be delivered to the City Administrator/City Clerk no later than 5:00 p.m. on the Tuesday preceding the regular City Council meeting.

2. Agenda Publication. The Council Agenda Packet consisting of the agenda and Council Agenda Reports will be distributed to each Councilmember and those City officers and employees designated by the City Administrator/City Clerk generally by 3:00 p.m. on Thursday preceding the regular City Council meeting. By that hour, copies of the agenda and Council Agenda Reports shall be available to the press and public in the City Clerk's Office and on the City's Web Site. Any person may have a copy of an agenda mailed by the City Clerk's Office by providing a self-addressed, postage pre-paid envelope of sufficient size to accommodate the agenda.

3. Agenda Posting. The agenda for each regular City Council meeting shall be available and posted at the City Clerk's Office, City Hall Public Notice Board, and City's Web Site on Thursday preceding the meeting. The City Clerk's Office shall report to the City Council the date and place of posting the agenda for that meeting, and the report shall be reflected in the agenda and minutes of the meeting. The Council Agenda Packet also will be available at the Central Library on Thursday preceding the meeting.

4. Order of Business. City Council business at a regular meeting shall be conducted in the following order except as otherwise directed by the City Council or the City Administrator/City Clerk who is authorized to exercise flexibility in establishing the order of agenda items to be considered at each City Council meeting:

AFTERNOON SESSION:

12:30 p.m. – ~~Ordinance~~ Finance Committee Meeting

12:3~~0~~0 p.m. – Ordinance ~~Finance~~ Committee Meeting

2:00 p.m. – Regular Redevelopment Agency Meeting

2:00 p.m. – Regular City Council Meeting:

Pledge of Allegiance to the Flag
Roll Call
Ceremonial Items
Changes to the Agenda
Public Comment
~~Councilmember Committee Assignment Reports~~
Consent Calendar
Report from the Finance Committee
Report from the Ordinance Committee
~~Report from the Finance Committee~~
Redevelopment Agency Reports
City Council Administrative and Attorney Reports
Mayor and Council Reports
Requests from the Public
~~Mayor and Council Reports~~
Board and Commission Reports
Public Hearings
Council and Staff Communications
Councilmember Committee Assignment Reports
Closed Sessions
Work Sessions

Evening Session – 6: p.m.

Roll Call
Public Comment
Public Hearings
Mayor and Council Reports
Requests from the Public
City Council Administrative and Attorney Reports
~~Mayor and Council Reports~~

Board and Commission Reports
Work Sessions
Adjournment

5. Ex Agenda Item. Except as provided in this paragraph, no action shall be taken at a regular City Council meeting on any item which does not appear on the posted agenda. An item may be added to the agenda after the agenda has been published and posted upon a determination by a two-thirds vote of the City Council (or a unanimous vote if less than two-thirds of the City Council is present); the vote shall be on a motion stating that there is a need to take immediate action and the need for action came to the attention of the City after the agenda was published and posted. Any such motion shall be accompanied by distribution of a written statement, to be included in the record, stating the facts upon which it can be determined that the need to take action arose after the agenda was published and posted. If it is infeasible to present such a written statement of reasons, the City Clerk's Office shall include in the minutes of the meeting a statement of the reasons for the City Council's determination. In addition, action may be taken on an item not on the posted agenda under the circumstances stated in Government Code Sections 54954.2(b)(1) [emergency] and 54954.2(b)(3) [continued regular meetings].

6. Requests to Speak. Any person wishing to address the City Council should first complete and deliver to the City Administrator/City Clerk a "Request to Speak" form prior to the time that the item on the agenda is read by the Deputy City Clerk; the form shall include a description of the subject the speaker wishes to address. Written materials (1~~0~~2 copies) for the City Council must contain the person's name and should be submitted to the Deputy City Clerk for distribution. A speaker shall not be heard during the "Public Comment" portion of the meeting on a matter scheduled before the City Council that same day. The City Council, upon majority vote, may decline to hear a speaker on the grounds that the subject matter is beyond the jurisdiction of the City Council.

7. Public Comment. At the beginning of the 2:00 p.m. session of each regular City Council meeting, the City Council shall allow any member of the public to address them. Should City Council business continue into the evening session at 6:00 p.m., the City Council shall 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 comment shall be 15 minutes, and no individual speaker may speak for more than 1 minute.

8. Consent Calendar. The Consent Calendar shall be comprised of items which, in the City Administrator/City Clerk's judgment, will not require discussion. A Consent Calendar item shall be 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 of the City Council. Items on the Consent Calendar will not be read unless the Deputy City Clerk is so directed by the Mayor; and the adoption of a motion of the City Council shall be deemed to have been preceded by a reading of each individual item by the Deputy City Clerk.

9. Mayor and Council Reports. Any two Councilmembers may request that an item be placed on a City Council agenda by submitting a written request to the City Administrator/City Clerk. The written request must, at a minimum contain all of the following:

A. A substantive outline or summary of the information that will be presented to the City Council;

B. A concise statement of the specific action the City Council will be asked to take on the item; and

C. A statement of the reasons why the requesting party believes it is appropriate and within the jurisdiction of the City Council to consider this subject matter and to take the requested action.

10~~9~~. Requests from the Public. A member of the public may request that an item be placed on the City Council's agenda only by providing the City Administrator/City Clerk with a written request for such consideration. The written request must, at a minimum, contain all of the following:

A. A substantive outline or summary of the information that will be presented to the City Council:

B. A concise statement of the specific action the City Council will be asked to take on the item; and

C. A statement of the reasons why the requesting party believes it is appropriate and within the jurisdiction of the City Council to consider this subject matter and to take the requested action.

Upon receipt of such an agenda item request, the City Administrator/City Clerk shall forward a complete copy of the request to all Councilmembers, City Attorney, and to any other City staff the City Administrator/City Clerk deems appropriate. Thereafter, such an agenda item request shall be placed on a City Council agenda only upon a written request from at least two Councilmembers to the City Administrator/City Clerk.

A member of the public who makes an oral request during a City Council meeting that an item be placed on a future agenda shall be advised that, for such a request to be processed further, the request must be made in writing in accordance with the requirements of this resolution.

~~10 Mayor and Council Reports. Any two Councilmembers may request that an item be placed on a City Council agenda by submitting a written request to the City Administrator/City Clerk. The written request must, at a minimum contain all of the following:~~

~~A.A substantive outline or summary of the information that will be presented to the City Council;~~

~~B.A concise statement of the specific action the City Council will be asked to take on the item; and~~

~~C.A statement of the reasons why the requesting party believes it is appropriate and within the jurisdiction of the City Council to consider this subject matter and to take the requested action.~~

11. Public Hearings. A public hearing on a specific agenda item shall be set for a specified time, and each written or published notice regarding that hearing shall announce its date and time.

A person who wishes to address the City Council at a public hearing should first complete a "Request to Speak" form and deliver it to the City Administrator/City Clerk prior to the time that the item on the agenda is read by the Deputy City Clerk. The Mayor may allot the available time to those persons who have filed a Request to Speak; and the determination of the Mayor may be overruled by a majority vote of the City Council.

12. Closed Sessions. The following policy and procedure shall govern the holding of closed sessions by the City Council:

A. Each closed session of the City Council shall be held in accordance with provisions of applicable law and this resolution.

B. The subject to be discussed at each closed session shall be disclosed to Councilmembers in accordance with the provisions of California Open Meetings Statute.

C. The closed session shall not be held if the Mayor determines that the closed session is inappropriate, unless that determination is overruled by a majority vote of the City Council.

D. The Mayor shall preside at meetings of the City Council in closed session and shall terminate a closed session if the discussion departs from the announced subject.

E. A Councilmember may, or point of order, call for a vote to terminate a closed session at any time during the meeting.

F. Statements made and documents distributed or discussed in closed session are privileged from disclosure. No disclosure of any statement made in closed session or document protected from disclosure will be made by any Councilmember or by City staff, except as disclosure is authorized or required by applicable law.

G. If it is alleged that a Councilmember or City staff has violated the provisions of subparagraph F of this section 12:

(1) The Mayor, a Councilmember, or the City Administrator/City Clerk may request a formal hearing be set at which the City Council shall hear the allegations, take sworn testimony, and review such information and evidence as may be presented.

(2) The hearing shall be conducted by the Mayor, or, in the Mayor's absence, by the Mayor Pro-Tempore; except that if the Mayor or the Mayor Pro-Tempore shall be the individual charged, he/she shall not conduct the hearing. If both are charged, the duties of the Mayor shall be performed by the Councilmember who serves as Chair of the Ordinance Committee; and if the Chair of the Ordinance Committee is unable to conduct the hearing, the duties of the Mayor shall be performed by the Councilmember who serves as Chair of the Finance Committee. The City Attorney shall serve as the hearing officer and shall advise City Council on all procedural matters and may direct questions to any witness.

(3) At the conclusion of the hearing, the City Council, by majority vote, shall make a finding as to whether or not any individual has violated subparagraph F of this section 12.

(4) If the City Council finds that a violation has occurred, the City Council shall direct the City Attorney to draw up the appropriate document for transmittal to the District Attorney or Grand Jury of Santa Barbara County requesting the bringing of an accusation for willful misconduct in office under Section 3060 of the Government Code of the State of California. In addition, the City Council may direct the City Attorney to undertake and appropriate civil action against the person accused including, but not limited to, an action for breach of fiduciary duty.

13. Work Sessions. A work session is ordinarily for the purpose of (i) briefing Councilmembers on a subject; and (ii) an informal discussion between City Council, City staff, City boards/commissions, or other agency representative(s). The City Council shall make no decisions at a work session, other than to give direction to staff for follow-up work. If there is no evening session, a work session may be set for an estimated time in the morning, such as 11 a.m. All Councilmembers will be polled for availability before a morning session is scheduled.

14. Estimated Time. The estimated time system is established to: (i) minimize the amount of time that large groups would wait for City Council items; (ii) recognize that estimating the duration of City Council items is imprecise and that an "estimated time" should not create an unrealistic expectation that the time for taking an item is certain; and (iii) avoid creating gaps in the City Council meeting flow. The estimated time system is established with the following guidelines:

A. An individual or group may request an estimated time for items with high public interest. High public interest means that a large group is planning to attend the meeting.

B. The intent of an estimated time would be to accommodate groups, not a specific individual scheduling request.

C. When an estimated time is established, the City Council item would be scheduled for the estimated time or later, e.g., 2:30 p.m. or later.

D. If multiple estimated time items are scheduled on the same agenda, the items would be taken in the order they appear on the agenda; for example, two items would be scheduled for 2:30 p.m. or later and taken in that order.

E. Estimated time requests must be submitted to the City Administrator/City Clerk who makes the final decision on whether to grant an estimated time request.

15. Action Items. The following procedure shall be followed (except where the City Council is considering an appeal from the decision of a City board or commission):

A. The item shall be presented by its proponent (Councilmember, staff, Commission member, public, etc.).

B. City Council questions to proponent.

C. City staff report and City Council questions to City staff.

D. Public input from persons who wish to speak

E. City Council debate.

F. Decision.

16. Time Limits.

A. Action Items. No item on the agenda shall be discussed by the City Council for more than 15 minutes, except as provided in subparagraph B of this paragraph. No agenda item will be introduced for consideration after 9:00 p.m. These rules may be suspended by directive of the Mayor or majority vote of the City Council.

B. Appeals to City Council. No appeal to City Council from any decision of a City board or commission shall exceed a total of 2 ½ hours.

(1) Presentations, comments and deliberations by the parties and City Council shall be limited as follows:

a) Presentation by City staff shall not exceed 20 minutes in length.

b) Presentation by appellant (including petitioners and applicants who are appellants) shall not exceed 30 minutes in length.

c) Presentation by an applicant who is not an appellant shall not exceed 30 minutes in length.

d) Presentation by City staff in response to issues raised by City Council, appellant and applicant shall not exceed 10 minutes in length.

e) Comments from any other persons shall not exceed a total of 30 minutes, and shall be conducted pursuant to paragraph 11.

f) City Council deliberations, including questions to and responses from City staff or any other party, shall not exceed a total of 30 minutes.

g) The order and time limits may be modified by action of the Mayor or majority vote of the City Council

(2) The total amount of time allocated for a presentation shall include time used to respond to or to comment upon issues or facts raised by a subsequent speaker ("rebuttal"). An applicant, an appellant, or City staff may request leave of the Mayor to reserve all or a portion of their time for rebuttal.

The total amount of time allocated for a presentation shall not include responses to questions posed by City Council during City Council deliberations.

(3) This resolution sets the maximum time allocated to each person or persons. Whenever feasible, presentations, comments and deliberations shall be shorter than the allocated time.

(4) Any person or persons whose presentation exceeds these time limits shall be ruled out of order and shall lose the floor, unless the time limit is extended by a majority vote of the City Council

17. Succession to the Mayor. During the absence or disability of the Mayor and the Mayor Pro Tempore, the duties of the Mayor shall be performed by the Councilmember who serves as Chair of the Ordinance Committee. During the absence or disability of the Mayor, Mayor Pro-Tempore, and Chair of the Ordinance Committee, the duties of

the Mayor shall be performed by the Councilmember serving as Chair of the Finance Committee.

18. General Rules of Debate. Each motion is to be clearly framed and stated. Each amendment to a motion shall be by separate motion.

19. Robert's Rules. In accordance with Section 2.04.040(h) of the Municipal Code, except as provided by the City Charter, ordinance, applicable provisions of state law, this resolution or other rules adopted by the City Council, the procedures of the City Council shall be governed by Robert's Rules of Order, as revised. The City Attorney shall serve as Parliamentarian. The procedure set forth in Robert's Rules and Municipal Code Section 2.04.070(g) shall govern reconsideration or rescission of action taken by the City Council, unless 90 days have elapsed since City Council action, after which time the item may again be placed on the City Council agenda.

20. Proclamations and Letters of Recognition. Guidelines to be used for Proclamations and Letters of Recognition are the following:

- The request must pertain to a Santa Barbara event
- The request must be submitted in writing at least three weeks in advance of the Council meeting
- Only one proclamation or letter of recognition can be presented per Council meeting with the exception of the first Tuesday of the month due to employees receiving service awards
- The person making the request must be present at the Council meeting to receive the proclamation or letter of recognition
- The Mayor will determine if the proposed request meets the intent of this policy and retains the right to decide if it will be issued
- The Mayor retains the right to modify, edit, or otherwise amend the proposed proclamation or letter of recognition

21. Provisions Directory. The provisions of this resolution are directory, not mandatory. Except as otherwise provided by statute or local ordinance, no action of the City Council shall be held invalid due to any failure to observe the provisions of this resolution, nor shall any person have a claim or cause of action against the City or any of its officers or employees on account of any such failure.

22. Resolution No. 05-073 is hereby rescinded.

23. This Resolution shall be effective January 12, 2010.

Agenda Item No._____

File Code No. 160.06

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

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. 07-066.

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. In addition, the City Clerk's Office undertook a project during Fiscal Years 2008 and 2009 to visit each department's offices to discuss the audit of prior approved records destruction requests against the department's retention schedule. These visits resulted in responses to make revisions to department retention schedules, including, but not limited to: 1) changing the description of certain records series to better reflect the content of those series; 2) amending retention periods to correspond to department policy or federal requirements; and 3) deleting those records series for which the records are no longer retained. The exhibit to the resolution shows proposed revisions to eleven 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. 07-066

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. 07-066 on July 24, 2007;

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 schedule to determine necessary revisions to schedules in order 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. 07-066 is rescinded.

CITY OF SANTA BARBARA
RECORDS MANAGEMENT

POLICIES AND PROCEDURES MANUAL

Approved by Resolution No. ~~07-066~~
Adopted on ~~July 24, 2007~~December 15, 2009

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

TABLE OF CONTENTS

PART 1: Records Management Program

1.1 Mission Statement 1
1.2 Official City Records 2
1.2.1. Record Copy 2
1.2.2. Active Records 3
1.2.3. Inactive Records 3
1.2.4 Permanent Records 4
1.3 Records Retention and Disposition Schedules 5
1.3.1. Retention Periods 5
1.3.2. Records Retention and Disposition Schedules in Part 2 of this Manual 6
1.3.3. Review of Records Retention and Disposition Schedules 6
1.3.4. Recommendations for Schedule Changes 6
1.3.5. Submission of Proposed Schedule Changes 7
1.4. Records Disposition 8
1.4.1. Retirement of Records 8
1.4.2. Transfer of Records 9
1.4.3. Destruction of Records 10
1.4.4. Permanent Retention 10
1.5. Files Management 11
1.5.1. Appraisal Guidelines 11
1.5.2. File Types 12
1.5.3. Files Cutoff 13
1.5.4. General Housekeeping 15
1.6. Vital Records 17
1.7. Staff Responsibilities 18
1.7.1 City Clerk Services Manager 18
1.7.2. Department Director 18
1.7.3. Records Coordinator 19
1.8. Definitions 20

PART 2: Records Retention and Disposition Schedules

2.1. Records Common to Most Offices 23
2.2. Administrative Services Department 38
2.3. Airport Department 51
2.4. City Administrator's Office 59
2.5. City Attorney's Office 68
2.6. Community Development Department 70
2.7. Finance Department 85
2.8. Fire Department 99
2.9. Library Department 102
2.10. Parks and Recreation Department 105
2.11. Police Department 121
2.12. Public Works Department 132
2.13. Waterfront Department 159

APPENDIX 1: List of Authorities Cited 166

APPENDIX 2: Legal Research Concerning Records of the City of Santa Barbara, California 167

APPENDIX 3: Vital Records of the City of Santa Barbara, California 174

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~~8. ~~Bid Awards,~~ Contracts~~,~~ and Agreements

This file includes ~~bid awards,~~ 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 ~~awards,~~ contracts, and agreements to which the City is a party.

(a) ~~Bid awards, c~~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) ~~Bid awards, c~~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 ~~awards,~~ contracts~~,~~ and agreements to which the City is a party. Active records are vital.

(1) Procurement records related to ~~bid awards,~~ contracts~~,~~ and agreements approved by the City Council.

(a) Record copies are retained with record copy of ~~bid award,~~ 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 ~~bid awards,~~ 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*.

~~6~~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)

~~7~~6. Calendars
Desk calendars and notebooks maintained by city staff. **Disposition**: *Retain 1 year*.

~~8~~7. Complaints

(a) Original complaints received from citizens concerning city government, services, and ordinances which lists name, address, phone number, location of complaint, 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, 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, Streets, Parking, and Transportation Operations. **Disposition**: *Discard 10 years after the complaint is resolved*. (CCP 337.15)

(2) All other copies. **Disposition**: *Retain 2 years*. (GC 34090.7)

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.*

~~11~~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**: *Life of the equipment, as needed for reference*.

~~12~~13. Financial Files
Files relating to the expenditure of funds, such as ~~cost estimates for travel,~~ 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. **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 2 years* (GC 34090.7); *retain for 3 years in City departments that operate on a three-year budget cycle*.

~~13~~14. General Administrative Files
Records relating to the internal management or general administration of a department rather than 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.*

~~14~~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*.

~~15~~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)

~~16~~18. Membership in Associations, Societies, and Committees

(a) Records documenting participation in 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)

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) City Clerk 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~~19. Personnel Files
Unofficial personnel folders for both temporary and permanent employees maintained by departments 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)

~~19~~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 18, Personnel Files, for explanation.*

~~20~~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*.

~~21~~22. Publications

(a) City Publications approved by the City Council or by City commissions, boards, and committees. City publications, including, but not limited to, annual reports, codification of ordinances, administrative codes, codes of regulatory commissions, publications issued by special authority such as housing, transit, water district, etc. Also included are research papers created on behalf of or for the use of the City 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*.

(b) Reference Publications. Copies of internal or external publications maintained for reference. **Disposition**: *Discard when obsolete or no longer needed.*

~~22~~23. Purchase Orders

See item 12, Financial Files, for explanation.

(a) Record copy 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 2 years* (GC 34090.7); *retain for 3 years in City departments that operate on a three-year budget cycle*.

~~23~~24. Reading or Chronological Files

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

~~24~~25. Records Retention and Disposition Schedules

(a) Record copy in the Administrative Services Department, City Clerk's Office. **Disposition**: *Permanent*

(b) Departmental use copies. **Disposition**: *Retain until superseded*.

~~25~~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, pertaining to City facilities, operations, and services. Studies and reports are usually performed by City staff and/or consultants. 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. Includes research papers created on behalf of, or for the use of the City 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*.

~~26~~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*.

~~27~~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, 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)

~~28~~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*.

~~29~~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)

~~30~~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 training requirements, and other documentation of successful training completion retained by City departments. Includes test scores of final tests taken by employee. **Disposition**: *Discard after separation, transfer, or termination of employee*.

~~31~~32. Travel Expense Records

~~See item 12, Financial Files for explanation~~Records relating to the expenditure of funds for travel.

~~(a)~~Record copy is ~~in~~ kept by the ~~Finance~~originating 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 2 years* (GC 34090.7); *retain for 3 years in City departments that operate on a three-year budget cycle*.~~

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~~8. ~~Agreement/~~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*

~~3~~2. Annexation Files
Files contain correspondence, ordinances, reports, and other materials related to annexations by the City of Santa Barbara. **Disposition**: *Permanent*

~~4~~3. Charter of the City of Santa Barbara
These are various versions of the Santa Barbara City charters. Current Santa Barbara City Charter is a vital record. **Disposition**: *Permanent*

~~5~~4. City Council Meeting Audio or Video Recordings
Audio and video recordings contain recorded City Council meetings. **Disposition**: *Retain for 10 years*.

~~6~~5. City Council Meeting Minutes
Volumes contain the minutes of City Council meetings. **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.*

~~7~~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 clerk 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. ~~Current agenda packets are vital records.~~ **Disposition**: *Permanent*

~~8~~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*

~~9~~11. Deed~~s~~ Logs
Logs contain information about all the City's deeds. There is a special volume for water deeds. **Disposition**: *Permanent*

~~10~~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 XIIID. **Disposition**: *3 years from the date of the public hearing held to consider formation of the assessment district.* (City Council Resolution No. 06-023)

~~11~~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.*

~~12~~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; ~~Council Agenda Reports, correspondence, sample ballots, resolutions, legal notices, affidavits of publication and posting, candidate statements, and other materials related to elections. Also:~~ 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, ~~candidate statements,~~ 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) Duplicate correspondence, resolutions, sample ballots, and other election materials. **Disposition**: *Discard after 2 year or when no longer needed for reference*. (GC 34090.7)~~

(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)~~(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)

~~(d)~~(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.)

~~13~~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*

~~14~~19. ~~Index to City~~ Ordinances Index
Index provides access to City Ordinances in alphabetical order by subject. **Disposition**: *Permanent*

~~15~~6. ~~Index to~~ 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*

~~16~~50. 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*

17. 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*

18. Ordinances

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

~~19~~56. Photographs

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

~~20~~57. 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*

~~21~~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, ~~finished agendas,~~ the ~~m~~Municipal ~~c~~Code, financial plans, and policy and procedures manuals. **Disposition**: *Discard after 2 years or when no longer needed for reference*. (GC 34090.7)

~~22~~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. ~~Current reports and environmental impact reports are vital records.~~ **Disposition**: *Permanent*

~~23~~22. Resolutions ~~Logs~~Index

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

~~24~~21. Resolutions
Official resolutions of the Santa Barbara City Council. **Disposition**: *Permanent*

~~25~~23. 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)

OBSOLETE RECORDS OF CITY CLERK AND VARIOUS CITY DEPARTMENTS

~~26~~24. Abstracts of Title
Volumes contain abstracts of title for property transactions in the City of Santa Barbara. **Disposition**: *Permanent*

~~27~~25. 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*

~~28~~26. 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*

~~29~~27. 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*

~~30~~28. Assessment Rolls, Delinquent
Volumes provide information about City residents that are delinquent in paying their tax assessments. **Disposition**: *Permanent*

~~31~~29. 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*

~~32~~30. 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*

~~33~~31. Auditor Report
Volume contains reports of the City Auditor for fiscal years 1917-1918 and 1918-1919. **Disposition**: *Permanent*

~~34~~32. Board of Equalization Minutes
Volumes contain the minutes of Board of Equalization meetings. **Disposition**: *Permanent*

~~35~~33. 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*

~~36~~34. Book "A" Grants
Volume contains information about land grants in Santa Barbara. **Disposition**: *Permanent*

~~37~~35. 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*

~~38~~36. 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*

~~39~~37. 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*

~~40~~38. 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*

~~41~~39. Charter Review Task Force Minutes

Binder contains the hard copy meeting minutes of the 1982 Charter Review Task Force. **Disposition**: *Permanent*

~~42~~40. 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*

~~43~~41. City of Santa Barbara Parking Corporation Minutes
Volume contains City of Santa Barbara Parking Corporation meeting minutes. **Disposition**: *Permanent*

~~44~~42. 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*

~~45~~43. 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*

~~46~~44. 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*

~~47~~45. 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*

~~48~~46. Garden Street Fund Account
Volume documents expenditures and income for the Garden Street Fund. **Disposition**: *Permanent*

~~49~~47. 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*

~~50~~48. General Ledgers
Ledgers contain information about cash and general expenditures, bank accounts, meter billing, journal vouchers, and other financial matters. **Disposition**: *Permanent*

~~51~~49. 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*

~~52~~51. Meter Billing Books
Volumes document water bills based on meter readings from 1916 to 1918. **Disposition**: *Permanent*

~~53~~52. Meter Book
Volume contains records of water tank, weight, and pulsation. **Disposition**: *Permanent*

~~54~~53. 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~~54. *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~~55. Parking District Assessment Rolls
Volumes contain lists of property owners and descriptions of their property in the parking assessment district. **Disposition**: *Permanent*

~~57~~58. 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*

~~58~~59. 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*

~~59~~60. 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*

~~60~~61. "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*

~~61~~62. Santa Barbara American Revolution Bicentennial Committee Records
Files contain scrapbooks, newspaper clippings, and other records documenting the activities of the committee. **Disposition**: *Permanent*

~~62~~63. Santa Barbara Board of Examining Engineers
Volume contains minutes of Santa Barbara Board of Examining Engineers meetings. **Disposition**: *Permanent*

~~63~~64. Santa Barbara Municipal Codes
Volumes contain various versions of the municipal code of the City of Santa Barbara. **Disposition**: *Permanent*

~~64~~65. 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*

~~65~~66. Street Department Records
Volumes contain warrants, plans, assessments, and other materials related to street construction and maintenance. **Disposition**: *Permanent*

~~66~~67. Subject Files
These are microfilmed City Clerk subject files. **Disposition**: *Permanent*

~~67~~68. Tax Collection Receipts
Volume contains information on the names of debtors and the location of their property from 1924 to 1925. **Disposition**: *Permanent*

~~68~~69. Time Roll and Daily Time Book
Books date from 1915 and 1923, documenting the hours worked by City employees and their wages. **Disposition**: *Permanent*

~~69~~70. Treasury Invoices
Volumes contain receipts for payments made to the City Treasurer's Office by individuals and institutions from 1902 to 1910. **Disposition**: *Permanent*

~~70~~71. 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

~~71~~72. 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)

~~72~~73. 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*.

~~73~~74. 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)

~~74~~75. 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)

~~75~~76. 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)

~~76~~77. Exit Interviews
Files contain exit interviews with terminating or separating employees. ~~This is a vital record.~~
Disposition: *Discard after 5 years or when no longer needed for reference*. (GC 34090)

~~77~~78. 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)

~~78~~79. 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. ~~This is a vital record.~~

(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)

~~79~~80. 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*

~~80~~81. 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))

~~81~~82. 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

~~82~~83. Benefit Files ~~(retiree)~~
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)

~~83~~84. 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)

~~84~~85. 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)

~~85~~86. 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*.

~~86~~87. 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

~~87~~88. Access Request Forms
Files contain a form for each open computer email or log-in account in the city and forms for each account closed. **Disposition**: *Retain until account is closed, then discard*.

~~88~~89. 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)

~~89~~90. 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*.

~~90~~91. 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)

~~91~~92. 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 ~~6 months~~ 1 year unless there is a major incident and pending possible litigation; then discard*. (~~14 CFR 139.327~~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~~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 or minor administrative character which contain no substantive information. **Disposition**: *Discard 10 years after project is complete*. (CCP 337.15; CCP 337.1)

~~39~~38. Drawings (current)

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

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

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**: ~~*Permanent*~~*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*.

(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 ~~25~~ 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) Capital felony files. **Disposition**: *Permanent.*~~

~~(2) Felony files. **Disposition**: *Discard after 75 years.* (GC 68152)~~

(~~3~~1) Civil action files. **Disposition**: *Discard after 10 years*. (GC 68152)

(~~4~~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**: ~~*Permanent*~~*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**: ~~*Permanent*~~*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**: ~~*Permanent*~~*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**: ~~*Permanent*~~*Retain for 10 years.*

(b) City Administrator policies and procedures related to municipal planning and development. **Disposition**: ~~*Permanent*~~*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**: ~~*Permanent*~~*Retain for 5 years.*

(b) City Administrator policies and procedures related to Municipal Airport. **Disposition**: ~~*Permanent*~~*Retain for 5 years.*

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

~~**11. 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)~~

11~~2~~. 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**: ~~*Permanent*~~*Retain for 5 years.*

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

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

12~~3~~. 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**: ~~*Permanent*~~*Retain for 5 years.*

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

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

13~~4~~. 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**: ~~*Permanent*~~*Retain for 5 years.*
(b) City Administrator policies and procedures related to City public works. **Disposition**: ~~*Permanent*~~*Retain for 5 years.*

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

14~~5~~. 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**: ~~*Permanent*~~*Retain for 5 years.*

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

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

15~~6~~. 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**: ~~*Permanent*~~*Retain for 5 years.*

(b) City Administrator policies and procedures related to social services in Santa Barbara. **Disposition**: ~~*Permanent*~~*Retain for 5 years.*

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

16~~7~~. 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**: ~~*Permanent*~~*Retain for 5 years.*

(b) City Administrator policies and procedures related to municipal water resources. **Disposition**: ~~*Permanent*~~*Retain for 5 years.*

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

17~~8~~. 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~~9~~. Airlogs (Programming Logs)
Logs list what was aired at any given time by Channel 18 (government access television channel). **Disposition**: ~~*Permanent*~~*Retain for 5 years.*

19~~20~~. 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~~1~~. 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**: ~~*Permanent*~~*Retain for 2 years.*

21~~2~~. *Impressions in Time*
Videotape is a 2-1/2-hour-long documentary history of Santa Barbara. **Disposition**: *Permanent*

22~~3~~. *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~~4~~. 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~~.~~

~~(a)Videotapes for which no written minutes are prepared. **Disposition**: *Permanent*~~

~~*(a)*Videotapes~~ for which written minutes are prepared. **Disposition**: *May* e*rase/discard after 30 days* (GC 54953.5); *but retain no longer than 2 years*.

~~**25. *Nuestra Ciudad* (*Our City*)**~~
~~Videotapes contain episodes of a Spanish-language public information show that discusses various City services of interest to Santa Barbara's Spanish-speaking residents. The show is in~~

~~talk show format. **Disposition**: *Permanent*~~

24~~6~~. 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~~7~~. Council ~~M~~member Subject Files

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

(a) Council ~~M~~member Correspondence. **Disposition**: ~~*Permanent*~~*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~~8~~. 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.*~~*Permanent*~~

27~~9~~. 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.*~~*Permanent*~~

(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*.

~~**30. Mayor's Subject Files (inactive)**~~

~~These are the subject files of past mayors of Santa Barbara. Included are the files of mayors Abbott, Montgomery, Rickard, Bohnett, MacGillivray, Shiffman, Firestone, and Conklin.~~ ~~**Disposition**: *Permanent*~~

28~~31~~. ~~Meeting and Travel Expense Files~~

~~Files contain claims, expense forms, purchase orders, and requisitions related to council meeting and travel expenses. The record copy for these files is in the Finance Department.~~ ~~**Disposition**: *Discard after 2 years.* (GC 34090.7)~~

29~~32~~. 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**: ~~*Permanent*~~*Discard after 5 years.*

3~~0~~3. Sister Cities Information Files

Files contain correspondence, reports, and information concerning Santa Barbara's sister cities. **Disposition**: *Permanent*

OBSOLETE RECORDS

31~~4~~. 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**: *~~10~~ 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**: ~~*Retain until 2 years after project is complete and final payment has been made, then integrate into Housing and Redevelopment Division, Redevelopment Program/Agency "Seismic Safety Program Files."*~~*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* ~~*2 years after project is complete and final payment has been made, then integrate into Housing and Redevelopment Division, Redevelopment Program "Seismic Safety Program Files."*~~*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**: ~~*Discard 2 years after program ends or when*~~*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* ~~*2 years after project is complete*~~

~~*and final payment has been made, then integrate into Housing and Redevelopment Division, Redevelopment Program/Agency "Seismic Safety Program Files."*~~*no longer needed for reference.*

BUILDING INSPECTOR

13. Building Inspector Enforcement Case Files
Files contain correspondence, notices of noncompliance, ~~certified mail receipts, copies of zoning information~~notices of violation, notices of administrative citations;~~,~~ appeal request letters, administrative appeal requests and final decisions; copies of permits, ~~notices of appointments, maps, citizen complaints,~~ digital photographs, ~~and~~ other materials that document violations, ~~enforcement actions,~~ and orders of the Building Official regarding dangerous, substandard, or illegal structures. Current files are vital records. **Disposition**: *Discard ~~5~~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. Proforms (Plan View Requests)**~~
~~Files contain plan view request forms and photocopies of parcel map containing subject property. The forms are used to process requests to view or copy plans. **Disposition**: *Discard after 2 years.* (GC 34090)~~

22~~3~~. Street Files (Permit/Enforcement Files)
Files contain ~~zoning enforcement documentation,~~ building permit applications, correspondence, ~~and~~ 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.~~(applications to begin the process of moving the project through all necessary committees for review) and are used to track permits issued on building construction and reconstruction.~~ These files supersede and continue the "Permit Log Books." Active files are vital records. **Disposition**: *Permanent* (SBCC 10-2.4)

23~~4~~. 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~~5~~. Annual Report~~s~~ to State Controller
This ~~R~~report~~s~~ describes the activities of the Redevelopment Agency during the fiscal year and provides information on financial matters of the Agency.~~contain financial transaction information on Housing and Redevelopment.~~ Current report is a vital record. **Disposition**: *Permanent.* ~~*Discard after 2 years or when no longer needed for reference.* (GC 34090.7)~~

REDEVELOPMENT PROGRAM/AGENCY

25~~6~~. 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*

~~**27. "Financial Report of the Redevelopment Agency of the City of Santa Barbara"**~~
~~The Financial Report describes the activities of the Redevelopment Agency during the fiscal year, as well as providing information on financial matters of the Redevelopment Agency.~~
~~**Disposition**: *Permanent*~~

26~~8~~. 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~~9~~. Redevelopment Agency Agenda Packets
Packets contain meeting agendas and attached documentation. **Disposition**: *Permanent*

28~~30~~. 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~~31~~. Redevelopment Agency Budgets and Financial Statements
These are budgets and financial statements for the Redevelopment Agency. **Disposition**: *Permanent*

30~~2~~. 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~~3~~. 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~~4~~. 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~~5~~. 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~~6~~. 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) Engineering calculations for structures with Redevelopment Agency involvement. Calculations for existing buildings are vital records.~~ ~~**Disposition**: *Retain for life of building plus 1 year or 10 years after construction is complete, whichever is longer.* (CCP 337.1, CCP 337.15, and CCP 340)~~

(~~d~~c) Reference information including newspaper clippings and code information.
Disposition: *Retain until no longer needed for reference.*

36~~7~~. Tax Allocation Files
Files contain ~~documentation on Bond Series A, B, and C, as well as~~ tax increment information, ~~and~~ funding reports and related items. **Disposition**: *Permanent.~~Discard after 2 years or until the bond is retired, whichever is longer.~~* ~~(GC 34090.7)~~

HOUSING DEVELOPMENT PROGRAM

37~~8~~. ~~Built~~ Affordable Housing ~~Project~~ 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.~~Discard 30 years after project is complete.~~* ~~(GC 65583.1)~~

~~(c) Materials related to grant funding. **Disposition**: *Discard 3 years after grant period expires.* (24 CFR 570.490)~~

(~~d~~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.*

~~**39. Construction Conference Tapes**~~
~~These are taped interviews between homeowners and contractors. **Disposition**: *Retain until construction is complete plus 10 years.* (CCP 337.1 and CCP 337.15)~~

38~~40~~. 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~~41~~. 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~~2~~. 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~~, and other related materials documenting HRLP loans and their repayment, as well as work completed with loan funds. Also included are slides and photographs documenting program activities~~. Record copy of financial materials is in Finance Department.

(a) ~~Slides and P~~Records related to loans, including photographs. **Disposition**: ~~*Retain one copy of each slide and photograph permanently*~~*Discard 5 years after loan is repaid*.

(b) ~~All other loan-related materials~~Records related to individuals who did not qualify for loans. **Disposition**: *Discard 2 years after disqualified*~~*loan related materials 5 years after the loan terminates*. (24 CFR 92.508)~~

~~**43. Project Files**~~

~~Files document federal Housing Rehabilitation Loan Program activities and expenditures and include correspondence, reports, maps, and photographs. Record copy of financial materials is in Finance Department.~~

~~(a)Photographs, maps, correspondence, and reports documenting project policies and activities. **Disposition**: *Permanent*~~

~~(b)Records related to loans. **Disposition**: *Discard 5 years after the loan terminates*. (24 CFR 92.508)~~

~~(c)Duplicate maps, correspondence, reports, and financial records maintained by another City department. **Disposition**: *Discard after 2 years or when no longer needed for reference*. (GC 34090.7)~~

CDBG ADMINISTRATION PROGRAM

4~~1~~4. 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 ~~three~~five-year period. **Disposition**: *Retain records until all litigation, claims, or audit findings involving the records have been resolved*. (24 CFR Part 85~~570.490 and CDBG Grant Mgmt. Manual, Ch. 7~~)

(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.*

4~~2~~5. Community Development Block Grant Project Files (active)

Files contain reports, studies, correspondence, and ~~financial and programmatic~~ other general reference information ~~documenting~~ 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 ~~three~~five-year period. **Disposition**: *Retain records until all litigation, claims, or audit findings involving the records have been resolved*. (24 CFR Part 84~~570.490 and CDBG Grant Mgmt. Manual, Ch. 7~~)

(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~~6~~. 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~~7~~. 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~~8~~. 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) Subdivision and tract maps. **Disposition**: *Retain one copy of each map permanently*~~

(c~~d~~) Downtown planning and redevelopment maps including those related to the Paseo, Las Positas, and the Presidio. **Disposition**: *Retain one copy of each map permanently*.

~~(e)~~(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*.

~~(f)~~(e) Special district maps including water district maps. **Disposition**: *Retain one copy of each map permanently*.

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

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

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

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

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

46~~9~~. 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*.

~~**ADMINISTRATION**~~

~~**50. MacKenzie Water Tower Master Index of Inactive Files**~~

~~This is an inventory of Planning Division records stored at the MacKenzie Records Storage Center. **Disposition**: *Discard when superseded.*~~

LONG RANGE PLANNING/SPECIAL STUDIES

47~~51~~. 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~~52~~. 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~~53~~. Planning Files ~~(final)~~

~~Files contain project files such as that for the Cypress Point project, audiotaped meetings of the Planning Commission and other advisory groups, Planning Commission resolutions, housing elements, local coastal plan files, airport master plans, least Bell's verio (an endangered bird) files, former employee files, environmental documentation, correspondence, various planning studies, zoning ordinance files, land use files, general plan files, land use files, annexation files, lot split files, rezoning files, conditional use permits, plot plans, zoning variances and modifications, and subdivision maps (1920-1925).~~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.

~~(a)Planning project files (final). Files contain planning maps, plans, correspondence documenting planning decisions and actions, photographs, environmental documentation, and other project-related materials.~~ **Disposition**: *Permanent*

~~(a)Division files (final). These are historical division files including housing elements, local coastal plan files, airport master plans, various planning studies, zoning ordinance files, land use files, general plan files, annexation files, lot split files, rezoning files, conditional use permits, plot plans, zoning variances and modifications, and subdivision maps (1920-1925).~~ ~~**Disposition**: *Permanent*~~

~~**54. Planning Files (working files)**~~
~~These are working files that contain preliminary plans and maps (Mylar and paper), as well as project-related correspondence and planners' notes, petitions from neighbors, tentative tract maps, newspaper clippings, duplicate Planning Commission resolutions, and other documents related to the project. Current files are vital records.~~

~~(a)Final maps and plans, project-related correspondence, and planner's notes, petitions from neighbors, and other materials documenting project decisions and actions.~~ ~~**Disposition**: *Integrate into final Planning File and retain permanently.*~~

~~(b) Duplicate and preliminary materials, including preliminary plans.~~ ~~**Disposition**: *Discard after completion of project.*~~ ~~(GC 34090.7 and 34090)~~

5~~4~~05. Special Project Files
These are planning files that relate to larger projects, rather than to single properties. Included are files relating to the ~~r~~Railroad ~~d~~Depot, Cypress Point, Entrada de Santa Barbara, Waterfront Park, Gibraltar Dam, and Rancho Arroyo. Current files are vital records. **Disposition**: *Permanent*

DESIGN REVIEW PROGRAM:

5~~1~~16. Architectural Board of Review, Single Family Design Board, and Historic Landmarks Commission Minutes
These minutes document the meetings and actions of the ~~Architectural Board of Review~~design review boards and commissions. Current minutes are vital records. **Disposition**: *Permanent*

52~~7~~. Design Review Case Files
Files contain ~~maps, plans, photographs,~~ Architectural Board of Review, Single Family Design Board, and Historic~~al~~ Landmarks Commission Master ~~a~~Applications, maps, plans, and photographs for design alterations, ~~Historical Landmarks Commission~~ case summaries, and other related materials. Current files are vital records.

(a) Architectural Board of Review, Single Family Design Board, and Historic~~al~~ Landmarks Commission Master Environmental Checklists and Master Applications. **Disposition**: *Permanent*

(b) All other materials. **Disposition**: ~~*Discard 2 years after the case is closed or when no longer needed for reference. (GC 34090)*~~*Insert original records into subseries (a) file; discard duplicate records 2 years after original approval date or after building permit is issued.*

53~~8~~. 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)

~~**59. Historical Landmarks Commission Minutes**~~
~~These minutes document the meetings and actions of the Historical Landmarks Commission. They document the identification and protection of landmarks in Santa Barbara. Current minutes are vital records.~~ ~~**Disposition**: *Permanent*~~

ENVIRONMENTAL REVIEW PROGRAM

54~~60~~. 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~~61~~. Environmental Review Committee Files – 1976 - 1990
These archive ~~F~~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~~62~~. 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~~63~~. Historic and Archaeological~~Cultural~~ Resources Files
Files contain correspondence, Historic~~al~~ Landmarks Commission minutes, Archaeological and Historic Structures Reports, ~~p~~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~~64~~. 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~~65~~. 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~~6~~. Required Documentation of Buildings
These files document structures that have been demolished and include ~~p~~Phase I ~~h~~Historic ~~r~~Resources ~~r~~Reports, photographs of structures, floor plans, and other related materials. **Disposition**: *Permanent*

SIGN REVIEW PROGRAM

61~~7~~. 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~~8~~. Sign Review Case~~Program~~ Files
Files contain ~~documentation for the~~ sign programs ~~which governs sign consistency in Santa Barbara and consist of~~ and sign applications (Master Application), sign drawings and plans, color chips, correspondence, ~~plans, reports, material samples, color chips,~~ and photographs documenting Sign Committee actions on specific projects.~~, and other related materials.~~ ~~**Disposition**: *Permanent*~~

(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.*

~~69. Sign Committee Files~~
~~Files contain sign applications, sign drawings, color chips, correspondence, and photographs documenting sign committee actions on specific projects.~~

~~(a)Master application, color chips, sign drawings, and photographs.~~ ~~**Disposition**: *Retain for 2 years, then transfer to Street File.*~~

~~(b)All other materials. Disposition: *Discard after 2 years.* (GC 34090)~~

ORDINANCE INFORMATION/ENFORCEMENT PROGRAM

63~~70~~. 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~~71~~. Historic Zoning Records
These are early zoning maps and ordinances for the ~~c~~City of Santa Barbara. **Disposition**: *Permanent*

65~~72~~. ~~Modification~~ 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~~73~~. 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 ~~reports include check registers, general ledgers, leave balance reports, and~~ 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. Analysis of General Ledger Accounts~~

~~These volumes provide an analysis of the General Ledger accounts. **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)*~~

~~**5. Appropriations, Expenditures, and Expenses**~~
~~These monthly reports document the City's appropriations, expenditures, and expenses.~~
~~**Disposition**: *Discard after 2 years.* (California Government Code (GC) 34090)~~

4~~6~~. Auditor Reports
These are annual reports of the City Auditor for the City of Santa Barbara. **Disposition**: *Permanent*

5~~7~~. 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~~8~~. Capital Project Files
Files contain financial reports concerning City capital projects.

~~Financial Reports concerning City capital projects.~~ **Disposition**: *Permanent*

~~(b)Materials used to compile financial reports.~~ ~~**Disposition**: *Retain 7 years after the fiscal year to which the records relate; then discard*. (26 CFR 1.6001-1; CCR §19141.6)~~

7~~9~~. 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~~10~~. Comprehensive Annual Financial Reports
Reports contain financial statements, auditor's letters, and block grant statements. **Disposition**: *Permanent*

9~~11~~. 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~~2~~. 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~~3~~. 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~~4~~. 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)

~~**15. Lease Audit Files**~~

~~Files contain information on audits of various City leases by an outside firm and include correspondence between auditors and lessees (primarily Waterfront and Airport departments), reports, notes, data, and other related materials. **Disposition**: *Retain for life of lease plus 7 years, then discard*. (26 CFR 1.6001-1 and CCR §19141.6)~~

1~~6~~3. 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~~7.~~ 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~~8~~. 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)

17~~9~~. 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)

16~~20~~. 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)

18~~21~~. 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~~22~~. 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~~3~~. 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~~4~~. 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~~5~~. 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~~6~~. 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~~7~~. 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~~8~~. Bond Files

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

26~~9~~. Bond Issue ~~Binders~~Official Transcripts

Binders contain bonds and certificates of participation for City bond issues. This is a vital record. **Disposition**: ~~*Discard 6 years after bond is canceled*~~*Permanent*. (GC 26907.1 and California Code of Civil Procedure 336a)

28~~30~~. Bond Redemption Ledger
Ledger sheets contain bond holder names and credit and balance information. **Disposition**: *Permanent*

27~~31~~. 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**: ~~*Discard 6 years after bond is canceled*~~*Permanent*. (GC 26907.1 and CCP 336a)

29~~32~~. City of Santa Barbara Annual Reports
These are annual reports of financial transactions and activities for the City of Santa Barbara. **Disposition**: *Permanent*

30~~3~~. 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~~4~~. 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~~5~~. 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)

~~**36. Seismic Safety Bond Files**~~
~~Files document the expenditures of the seismic bond program which provided money to City owners of commercial property to seismically retrofit their structures. **Disposition**: *Retain until bonds have been fully retired plus 7 years; then discard*. (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~~7~~. Tax Rate Volumes
Volumes provide information on the City's tax rates. Current volumes are vital records. **Disposition**: *Permanent*

35~~8~~. 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*.

GENERAL SERVICES

36~~9~~. 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)

37~~40~~. 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 ~~5~~ 10 years*. (GC 26202.1)

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

38~~41~~. 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)

39~~42~~. Central ~~Warehouse~~ 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)

40~~3~~. 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)

414. 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)

425. 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)

436. Quick Quotes

These are requests for quotation from three vendors for each purchase of products and services totaling $1,0002,500-$9,99925,000. Current Quick Quotes are a vital record. **Disposition**: *Discard after 1 yearRetain 7 years after the fiscal year to which the records relate; then discard*. (Santa Barbara Municipal Code (SBMC) 4.52.040060)

447. 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)

458. 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

469. 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*.

4750. 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)

48~~51~~. 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)

49~~52~~. 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)

50~~3~~. 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)

51~~4~~. Insurance Policies
Files contain various insurance policies for City property. Current policies are vital records. **Disposition**: *Permanent*

52~~5~~. 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)

53~~6~~. Liability Claim Schedules
These schedules show the status of damage claims against the City. Current files are vital records. **Disposition**: *Permanent*

54~~7~~. 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)

55~~8~~. 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)

56~~9~~. 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*.

57~~60~~. 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**: ~~*Discard 5 years after the claim is settled*~~*Permanent*. (29 CFR 1904.4 and 6, GC 25105.5, LC 5500.5)

58~~61~~. Workers' Compensation Information Files
Files contain the forms and other information needed to administer the City's workers' compensation program. **Disposition**: ~~*Discard after 5 years or when superseded*~~*Permanent*. (GC 34090)

TREASURY

59~~62~~. 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)

603. 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)

614. 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.*

625. 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)

636. 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*

647. 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*.

658. 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)

669. "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 3 5 years*. (SBMC 4.24.150)

67~~70~~. 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)

68~~71~~. 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*

69~~72~~. 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 ~~3~~ 5 years*. (SBMC 4.08.150)

70~~3~~. 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)

71~~4~~. 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)

72~~5~~. 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

73~~6~~. 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*

74~~7~~. Assessment Records
Files contain correspondence, project prospecti, project descriptions, bond receipts, project resolutions, and refund schedules. **Disposition**: *Permanent*

~~**78. Assessment Roll Tax Stubs**~~
~~These are stubs from assessment tax bills to City residents. **Disposition**: *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)~~

76~~9~~. Assessment Rolls (Delinquent)
The Delinquent Assessment Rolls provide information about City property owners, their property, and taxes owed. **Disposition**: *Permanent*

77~~80~~. 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*

75~~81~~. Assessment Roll Index
This volume is an index to the Assessment Rolls. **Disposition**: *Permanent*

~~**82. Certificates of Installment Payment of Delinquent Taxes**~~
~~These certificates document the payment of late property taxes in installments. **Disposition**: *Discard 7 years after final payment.* (26 CFR 1.6001-1 and CCR §19141.6)~~

78~~83~~. 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)

(~~b~~d) Other records. **Disposition**: *Retain until superseded*.

(~~c~~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)

~~7~~8. License Files

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

~~8~~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*

~~9~~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*

~~10~~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**: ~~*Discard after 3 years*~~*Retain for life of structure, then discard*. (California Government Code (GC) 34090)

~~11~~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)

~~12. Personnel Reference Files~~

~~Files contain information pertaining to personnel policies, procedures, and issues and include correspondence, memoranda, reports, and other related materials.~~ ~~**Disposition**: *Discard after 2 years.* (GC 34090)~~

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**: ~~*Discard after 3 years*~~*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

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE LIBRARY 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. 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.

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ADMINISTRATIVE SERVICES DIVISION

1. Administrative Staff Meeting Agendas and Minutes
These are the agenda, agenda item documentation, and minutes for administrative staff meetings. **Disposition**: *Permanent*

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*.

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. Annexation of Goleta Valley Binder**~~
~~Binder contains duplicate information regarding an attempt by the City to annex Goleta Valley and the effects that annexation would have on the Parks and Recreation Department.~~
~~**Disposition**: *Discard after 2 years*. (GC 34090.7)~~

4~~5~~. 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~~6~~. 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*.

6. 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.*

7. 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*

8. 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 skateboard park, 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*.

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~~0~~. PARC Foundation Files
Files contain Parks and Recreation ~~Commission~~ 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~~1~~. Final Samples
These are samples of the final products of every project undertaken by the Marketing and Communications Office. **Disposition**: *Permanent*

13~~2~~. Photographs
These photographs document Parks and Recreation facilities, programs, activities, and staff. **Disposition**: *Permanent*

14~~3~~. Scrapbooks
The scrapbooks contain photographs and clippings of newspaper articles related to Parks and Recreation Department (and Marketing and Communications Section) activities. **Disposition**: *Permanent*

15~~4~~. Slides
Slides document Parks and Recreation programs, staff, facilities, and activities. **Disposition**: *Permanent*

~~**15. Work Orders**~~
~~Files contain work orders requesting that the Marketing and Communications Section prepare flyers, banners, posters, invitations, photographs, and other publicity materials for the divisions and sections of the Parks and Recreation Department. **Disposition**: *Retain 2 years after work is completed, then discard*. (GC 34090)~~

PARK DESIGN AND PLANNING SECTION

16. Blueprints
These are the conceptual construction blueprints for completed park projects. Some of these are as-built plans. The as-built plans for existing park facilities are vital records. **Disposition**: *Permanent*

17. 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*

18. Project Files
Files contain correspondence, reports, drawings, and other materials related to parks projects that are both completed or still in the planning stages.

(a) Maps, plans, reports, correspondence, photographs, specific plans, and other original 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)

CREEKS DIVISION

19. 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)

21. 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*

22. 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 ~~transfer to Finance Department, Risk Management Division~~discard*.

PARKS DIVISION

23. 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 Bird Refuge. Current files are vital records. **Disposition**: *Permanent*

24. 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)

25. 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*

26. 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*

27. 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 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 in Finance Department 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)

28. Park Files

These files deal with particular 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*

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*

~~**31. Section Files**~~
~~Files contain correspondence, reports, and other materials relating to the sections of the Recreation Division and their activities. **Disposition**: *Retain 2 years, then discard*. (GC 34090.7)~~

ADAPTED RECREATION SECTION

31~~2~~. 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*

~~**33. Camp Files**~~
~~Files contain flyers, correspondence, shopping lists, and other information pertaining to camps operated by the Adapted Recreation Section. **Disposition**: *Retain 2 years after event or until no longer needed for reference, then discard*. (GC 34090)~~

~~**34. Personnel and Payroll Files**~~
~~Files contain personnel and payroll records for Adapted Recreation temporary employees including employee applications, evaluations, personnel action forms, correspondence, timesheets, and other personnel-related materials.~~

~~(a)Duplicate Payroll Files. Record copy of payroll information is in Finance Department. **Disposition**: *Retain 2 years or when no longer needed for reference, whichever is sooner, then discard*. (GC 34090.7)~~

~~(b)Duplicate Personnel Files. Record copy of personnel records is in Administrative Services Department, Human Resources Division. **Disposition**: *Retain until employee termination or separation plus 1 year; then discard*. (GC 34090.7)~~

32~~5~~. Photographs
Photographs show Adapted Recreation program activities. **Disposition**: *Permanent*

33~~6~~. Program Files

Files contain flyers, newsletters, receipts, correspondence, and other materials related to Adapted Recreation 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. D**isposition**: *Discard after 2 years*. (GC 34090.7)

(d) All forms or documents related to activity participants, including but not limited to activity registration forms, parent 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)

AQUATICS SECTION

34~~7~~. 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*

35~~8~~. 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)

~~**39. Camp Files**~~
~~Files contain flyers, correspondence, shopping lists, and other information pertaining to camps operated by the Aquatics Section. **Disposition**: *Retain 2 years after event or until no longer needed for reference, then discard*. (GC 34090)~~

~~**40. Personnel and Payroll Files**~~
~~Files contain personnel and payroll records for Aquatics temporary employees including employee applications, evaluations, personnel action forms, correspondence, timesheets, and other personnel-related materials.~~

~~(a) Duplicate Payroll Files. Record copy of payroll information is in Finance Department. **Disposition**: *Retain 2 years or when no longer needed for reference, whichever is sooner, then discard*. (GC 34090.7)~~

~~(b) Duplicate Personnel Files. Record copy of personnel records is in Administrative Services Department, Human Resources Division. **Disposition**: *Retain until employee termination or separation plus 1 year; then discard*. (GC 34090.7)~~

36~~41~~. 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~~42~~. 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)

38~~43~~. Field and Facility Reservation Files
Files document special events reservations and sports field permits, and contain correspondence, applications, forms, permits, 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)

39~~44~~. Sports League Files
Files document the activities and membership 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

4~~5~~. Center Information Files

File contains correspondence and information related to the historical activities of the community centers. **Disposition**: *Permanent*

4~~1~~6. 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*.

4~~2~~7. 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)

4~~3~~8. Reports and Surveys

Reports pertain to historical Community Service activities. **Disposition**: *Permanent*

4~~4~~9. Special Project Files

Files contain reports, correspondence, studies, maps, and other materials related to special projects originated by the community centers. **Disposition**: *Permanent*

45~~50~~. 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)

46~~51~~. 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

48~~52~~. 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*

(b) Publicity materials such as flyers and press releases. **Disposition**: *Retain one copy of each permanently*.

(c) 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)

(d) Applications and permits. **Disposition**: *Retain 5 years after event, then discard.* (GC 34090)

47~~53~~. 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*

49~~54~~. 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~~5~~. 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~~6~~. 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~~7~~. 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)

54~~8~~. 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 years, then discard. Retain all other materials 2 years after event or when no longer needed for reference, then discard.* (GC 34090)

55. Summer Camp Registration Files
Files contain activity registration forms, parent program evaluations, parent correspondence, calendars, and other related materials documenting summer 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 2 years after event or until no longer needed for reference, then discard* (GC 34090).

56~~9~~. 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*.

~~SENIOR RECREATION SERVICES~~ ACTIVE ADULTS & CLASSES SECTION

58~~60~~. Administrative Subject Files

Files contain work orders, reports, correspondence, notes, facility inspection records, and other materials concerning ~~Senior Recreation Services~~Active Adults & Classes activities and facilities.

(a) ~~Senior~~ 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~~61~~. 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, ~~Senior Recreation Services~~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~~62~~. Program Files

Files contain correspondence, reports, notes, activity participation documentation, and other materials documenting the programs of the ~~Senior Recreation Services~~Active Adults & Classes Section. **Disposition**: *Permanent*

(a) ~~Senior recreation services~~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)

~~63~~57. ~~Senior Recreation Services~~Active Adults & Classes Advisory Committee Files
Files contain meeting minutes and agendas, correspondence, budget information, reports, and studies related to the activities of the ~~Senior Recreation Services~~Active Adults & Classes Advisory Committee. **Disposition**: *Permanent*

61~~4~~. Tour Files
Files document tours planned and offered by the ~~Senior Recreation Services~~Active Adults & Classes office and include correspondence, flyers, copies of paid checks, 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)

TEEN PROGRAMS SECTION

62~~5~~. 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 ~~transfer to Finance Department, Risk Management Division~~discard*.

63~~6~~. 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~~7~~. Reports
These are the quarterly reports and general reports of Teen Program activities. **Disposition**: *Permanent*

65~~8~~. Youth Council Files

Files contain meeting minutes and agendas, correspondence, budget information, reports, and studies related to the activities of the Youth Council. **Disposition**: *Permanent*

TENNIS SERVICES SECTION

6~~9~~. 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~~70~~. 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)

68~~71~~. 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*

YOUTH ACTIVITIES SECTION

69~~72~~. 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)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)~~

(~~b~~a) Incident Reports. Record copy is in Finance Department, Risk Management Division.
Disposition: *Retain in office 1 year, then ~~transfer to Finance Department, Risk~~*

~~Management Division~~discard.

(~~c~~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)

~~73. Camp Files~~

~~Files contain activity registration forms, parent program evaluations, parent correspondence, calendars, and other related materials documenting the Youth Activities summer 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 2 years after event or until no longer needed for reference, then discard.* (GC 34090)~~

7~~0~~4. 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) ~~Final Investigation Reports~~Complaints by members of the public against police department personnel, supporting correspondence, reports, investigator notes, and other related information.. **Disposition**: ~~*Permanent*~~*Discard 5 years after the investigation is complete*. (California Penal Code Section 832.5)

(b) Administrative complaints against police department personnel, ~~S~~supporting correspondence, reports, investigator notes, and other related information. **Disposition**: *Discard ~~5~~2 years after the ~~report is released~~investigation is complete*.

(California ~~Penal Code (PC) 832.5 and 6126.3~~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

4. 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*

ANIMAL CONTROL SECTION

5. 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)

6. Dog Licenses
Files contain dog licenses. Current files are vital records. **Disposition**: *Discard after 3 years*. (GC 34090)

7. 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)

8. 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*.

9. 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

10. 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)

OFFICE OF EMERGENCY SERVICES

~~11. Administrative Subject Files~~

~~Files contain equipment information, budgets, disaster proclamations, correspondence, emergency procedures, committee and organization records, Emergency Operations Center cards for city employees, and other information related to the administration of the Office of Emergency Services.~~

~~(a)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*~~

~~(b)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)~~

~~12. 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)~~

PARKING ENFORCEMENT, PROPERTY, CRIME ANALYSIS, SCHOOL CROSSING GUARDS

11~~3~~. 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. **Disposition**: *Permanent*

12~~4~~. 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*

13~~5~~. 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)

14~~6~~. 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)

15~~7~~. 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**: ~~*Retain until case is closed and according to case file retention guidelines*~~*Permanent*.

16~~8~~. 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)

17~~9~~. 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)

18~~20~~. 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

19~~21~~. 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)

20~~2~~. Burglary Prevention Materials

Files consist of pamphlets related to crime prevention. **Disposition**: *Retain one copy of each pamphlet permanently*.

21~~3~~. 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

23~~4~~. 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)

24~~5~~. 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 ~~2~~ 5 years after materials are received*. ~~(GC 12946)~~

22~~6~~. 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)

25~~7~~. 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

26~~8~~. 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.*

27~~9~~. 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

28~~30~~. Abandoned Vehicle Reports

Reports document towed abandoned vehicles and their disposition. **Disposition**: *Discard after 2 years*. (GC 34090)

30~~31~~. 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)

~~32~~29. 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)

31~~3~~. Criminal History Request Files

Files contain requests for individuals' criminal histories. **Disposition**: *Discard after 2 years*. (GC 34090)

32~~4~~. Field Interrogation Cards ("FI Card")

These cards document each traffic and other stop made by an officer. **Disposition**: *Discard after 2 years*. (GC 34090)

~~35. Old Dispositions~~

~~These files are sent to the Police Department by the court and document the disposition of cases. **Disposition**: *Discard after 2 years*. (GC 34090)~~

3~~6~~3. 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)

3~~7~~4. 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)

3~~8~~5. 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)

3~~9~~6. 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)

37~~40~~. 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)

38~~41~~. 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)

39~~42~~. 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

40~~3~~. 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~~Discard when the subject reaches the age of 38. (GC 68152)~~*

(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)

414. 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*

425. 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

43~~6~~. 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)

44~~7~~. Daily Work Schedules

These are work schedules of operations officers out in the field. **Disposition**: *Discard after 2 years*. (29 CFR 516.6)

45~~8~~. 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)

46~~9~~. 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)

475~~0~~. 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)

485~~1~~. 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.~~Discard when the subject reaches the age of 38.~~* ~~(GC 68152)~~

(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)

495~~2~~. 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~~5. Certain Dedicated Streets in the City
Maps document streets dedicated by private owners to public use and accepted by the City in Resolution No. 2737. Record copy is in the Administrative Services Department, City Clerk's Office. **Disposition**: *Permanent*

~~**5. City of Santa Barbara Map Books**~~
~~Books contain Santa Barbara City parcel maps prepared by the City Assessor. **Disposition**: *Permanent*~~

~~**6. City of Santa Barbara Small Water Atlas**~~
~~Maps document the location of the City's water distribution system. **Disposition**: *Permanent*~~

~~7~~6. 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 ~~5~~ 10 years or until superseded; retain Mission Creek Subject Files permanently*. (GC 34090)

~~8~~7. Engineering ~~Project~~ Administrative Files and Studies (Ongoing Projects)
General engineering file information and ~~F~~files containing management and reference information about ongoing projects and issues, such as: ~~underground utilities, penstocks, the Conejo slide area, Laguna Channel, bid analysis, and general engineering files. Current project management files are vital records. **Disposition**: *Retain Engineering Division memoranda and correspondence permanently; retain other materials until project completion plus 5 years.* (GC 34090)~~

(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.*

(b) Conejo Slide Area. **Disposition:** *Permanent.*

(c) Laguna Channel. **Disposition:** *Permanent.*

(d) Studies related to design and construction of City 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*

(e) Bridge Inspection Reports and Correspondence. Reports are used to track bridge conditions and include correspondence and photographs of bridges. Current files are vital records. **Disposition**: *Permanent*

~~9~~4. ~~Engineering~~ Capital Project Files

Files contain contracts, construction specifications, correspondence, reports, notes, claim forms, consulting agreements, ~~certificates~~ Notices of ~~c~~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 ~~for~~ of payment records ~~in~~ is in Finance Department; record copy ~~for~~ of reports, specifications, contracts, and agreements approved by the City Council is in the ~~Administrative Services,~~ 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.

(a) 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, ~~certificates~~ Notices of ~~c~~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 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, and other materials concerning budgeting, personnel, and related subjects. **Disposition:** *Discard after 5 years or when superseded.*

(f) Design Files (active). Files contain construction designs and correspondence and are used to document construction design.

i. Construction designs and plans (final). **Disposition**: *Permanent*

ii. Construction designs and plans (preliminary). **Disposition**: *Discard 1 year after completion of project or when no longer needed for reference*. (GC 34090)

iii. Correspondence concerning construction design decisions. **Disposition**: *Discard after 10 years*. (California Code of Civil Procedure (CCP) 337.15)

(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.

i. Final design maps, plans, photographs, staff reports and correspondence documenting design decisions. **Disposition:** *Integrate into Engineering Project Files and retain permanently.*

ii. Duplicate reports, bid specifications, purchase orders, and other duplicate records. **Disposition:** *Retain until project completion plus 2 years, then discard.* (GC 34090.7)

~~**10. Lot Split Records**~~
~~Maps document the subdivision ("splitting") of City lots and are the product of the City's review of lot splits and subdivisions. **Disposition**: *Permanent*~~

~~11~~8. Maps

Maps 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, and other maps produced by outside agencies are not city 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*.

~~**12. Mission Creek Chronological/Subject File**~~
~~Files contain plans, reports, correspondence, technical data on water quality and flow, and other materials related to Mission Creek. **Disposition**: *Permanent*~~

~~13~~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*.

~~**14. Photographs**~~
~~Photographs consist of aerial views of Santa Barbara and views of departmental staff, activities, and events.~~

~~(a)Aerial photographs of Santa Barbara that show the City's development. Current photographs are vital records. **Disposition**: *Permanent*~~

~~(b)Photographs that document departmental staff, activities, and events. **Disposition**: *Permanent*~~

~~**15. Plans and Maps**~~
~~These are original (vellum or Mylar) construction plans and maps; state and federal plans and maps, general plan element maps, storm drain and flood control plans and maps and other related plans and maps. Current Engineering Division plans and maps are vital records.~~

~~(a)City construction plans and maps, storm drain and flood control plans and maps, and other plans and maps produced by the Engineering Division. **Disposition**: *Permanent*~~

~~(b)State and federal plans and maps such as United States Geological Survey topographical maps. **Disposition**: *Retain while needed for reference, then discard*.~~

~~**16. Santa Barbara County Road System Maps**~~
~~Maps were produced by the California Department of Transportation and show all the roads in Santa Barbara County. **Disposition**: *Retain while needed for reference, then discard*.~~

~~17~~10. Storm Drain, Water, and Sewer Atlases
Maps show the City's storm drain, ~~and~~ 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. ~~**Disposition**: *Discard maps when superseded and no longer needed for review*.~~

(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.*

(c) Drainage Facilities Mapping Project. Maps document the location of storm drains and outlets, 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. 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*

~~**18. Subdivision Maps**~~
~~Subdivision maps document changing street alignment, road abandonment, and land subdivision. They are the product of the City's review of lot splits and subdivisions. The maps document property development in Santa Barbara.~~ ~~**Disposition**: *Permanent*~~

~~**19. Water Department Water Plat Maps**~~
~~Maps document the location and boundary lines of City water department property.~~
~~**Disposition:** *Permanent*~~

~~**20. 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.*~~

ACCOUNTING

~~21~~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 ~~a~~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~~plus 5 years~~*. (41 Code of Federal Regulations (CFR) 105-71.142 and GC 34090)

(b) Consulting ~~a~~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)

~~22~~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 ~~3~~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*.

~~**AUTOMATED MAPPING**~~

~~**23. Drainage Facilities Mapping Project**~~

~~Maps document the location of storm drains and outlets, 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. Electronic file is a vital record. **Disposition**: *Discard hard copy when superseded*.~~

~~**24. Mapping Project Files**~~

~~Files are used to develop digital aerial topography data for computerized mapping projects. Current files are vital records. **Disposition**: *Discard after 2 years or when superseded*. (GC 34090)~~

~~**CONSTRUCTION**~~

~~**25. Bid Specifications**~~

~~These are the specifications for completed construction bids. They contain a description of the project, maps, and bid information. The specifications are retained so that they can be referred to in the event that additional work becomes necessary on completed projects. Current specifications are vital records. **Disposition**: *Permanent*~~

~~26. Construction Plans~~
~~The construction plans contain the information needed by contractors to construct projects. Current plans are vital records.~~ **~~Disposition~~**: ~~*Permanent*~~

~~27. Construction Subject Files~~
~~Files contain correspondence, reports, notes, and other materials concerning budgeting, personnel, and related subjects.~~ **~~Disposition~~**: ~~*Discard after 5 years or when superseded.* (GC 34090)~~

~~28. Studies~~
~~Studies are related to design and construction of City buildings and facilities in Santa Barbara. They include environmental impact reports, proposals, design reports, engineering reports, technical reports, and other related reports.~~ **~~Disposition~~**: ~~*Permanent*~~

~~**DESIGN**~~

~~29. Bridge Inspection Reports and Correspondence~~
~~Reports are used to track bridge conditions and include correspondence and photographs of bridges. Current files are vital records.~~ **~~Disposition~~**: ~~*Permanent*~~

~~30. Design Files (active)~~
~~Files contain construction designs and correspondence and are used to document construction design.~~

~~(a)Construction designs and plans (final).~~ **~~Disposition~~**: ~~*Permanent*~~

~~(b)Construction designs and plans (preliminary).~~ **~~Disposition~~**: ~~*Discard 1 year after completion of project or when no longer needed for reference.* (GC 34090)~~

~~(c)Correspondence concerning construction design decisions.~~ **~~Disposition~~**: ~~*Discard after 10 years.* (California Code of Civil Procedure (CCP) 337.15)~~

ENVIRONMENTAL PROGRAMS

~~31~~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*

~~32~~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

~~33~~15. 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 maps and plans, photographs, correspondence regarding land development decisions, and reports and studies related to land development projects. **Disposition**: *Permanent*

~~(b) Preliminary maps and plans. **Disposition**: *Retain 1 year after completion of project, or discard sooner if no longer needed for reference.* (GC 34090)~~

(~~e~~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)

REAL PROPERTY

~~34~~16. Real Property Files

Files contain 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 risk management of City-owned lands~~ and public rights-of-way inside and outside the City. Current files are vital records.

(a) Final revised 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~~, chain of title information, and legal documents~~. **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,~~and~~ 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)

(f) Lot Split Records. Maps document the subdivision ("splitting") of City lots and are the product of the City's review of lot splits and subdivisions. **Disposition**: *Permanent*

(g) Subdivision Maps. Maps document changing street alignment, road abandonment, land subdivision, and property development in Santa Barbara. They are the product of the City's review of lot splits and subdivisions. **Disposition**: *Permanent*

SURVEY OFFICE

~~35~~17. 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*

~~36. Computation Books~~

~~Books document survey coordinates and traverses in Santa Barbara. Current books are vital records. **Disposition**: *Permanent*~~

~~37. Records of Surveys~~

~~Records document surveys completed by City Surveyor's Office and recorded in the County Recorder's Office. Record copy is in the County Recorder's Office. City's copy is in the Engineering Division. **Disposition**: *Permanent*~~

~~38~~19. 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**: ~~Retain 2 years; then discard. (GC 34090.7)~~*Permanent*

~~39~~20. 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*

~~40~~21. 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*

~~41. Field Book Index~~

~~Index cards provide information about private surveys and surveys for City projects. **Disposition**: *Permanent*~~

~~42~~18. 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*

~~43~~22. 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*

~~44~~23. 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*

~~45. 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*~~

~~46. Traverse Computation Sheets~~

~~Maps document survey computations for property lines, road alignments, and other survey matters. **Disposition**: *Permanent*~~

~~WATERFRONT~~

~~47. Santa Barbara Harbor Control Records~~

~~Records consist of aerial photographs, survey maps, and engineering calculations for the harbor, breakwater, and Shoreline Drive. **Disposition**: *Permanent*~~

~~48. Waterfront Design Files~~

~~Files contain correspondence, memoranda, reports, contracts (duplicates), maps, plans, photographs, and other materials related to Waterfront engineering design. This file is a continuation of the Waterfront Department Location Files. Record copy for contracts approved by the City Council is in the Administrative Services Department, City Clerk's Office. Current files are vital records.~~

~~(a)Final design maps, plans, photographs, and staff reports and correspondence documenting design decisions. **Disposition**: *Integrate into Engineering Project Files and retain permanently.*~~

~~(b)Duplicate contracts for Waterfront design projects. Record copy is in the Administrative~~

~~Services Department, City Clerk's Office. **Disposition**: *Discard after 2 years or when no longer needed for reference.* (GC 34090.7)~~

~~(c)Duplicate reports, bid specifications, purchase orders, and other duplicate records. **Disposition**: *Retain until project completion plus 2 years, then discard.* (GC 34090.7)~~

~~**WATER RESOURCES**~~

~~**49. 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.~~

~~(a)Final design maps, plans, photographs, and staff reports and correspondence documenting design decisions. **Disposition**: *Integrate into Engineering Project Files and retain permanently.*~~

~~(b)Duplicate reports, bid specifications, purchase orders, and other duplicate records. **Disposition**: *Retain until project completion plus 2 years, then discard.* (GC 34090.7)~~

ENGINEERING DIVISION OBSOLETE RECORDS

~~50~~24. 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*

~~51~~25. Assessment District Maps
Maps document projects funded by the 1911 and 1913-1915 assessment acts. This is a vital record. **Disposition**: *Permanent*

~~52~~26. 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*

~~**53. City Engineer Cash Ledger**~~
~~Ledger lists the permit fees received by the City Engineer. **Disposition**: *Permanent*~~

~~54~~27. 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*

28. Field Book Index
Index cards provide information about private surveys and surveys for City projects.
Disposition: *Permanent*

~~55~~29. 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*

~~56~~30. Sewer Book and Index
Book contains sewer profile drawings and information on applicable ordinances and dates for sewer grading (leveling). **Disposition**: *Permanent*

~~57~~31. Street Numbers
Index cards contain official street numbers (now superseded) for structures in Santa Barbara. **Disposition**: *Permanent*

FACILITIES MAINTENANCE DIVISION

BUILDING MAINTENANCE

~~58~~32. 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)

~~59~~33. Facility Files
Files document maintenance at each City facility. **Disposition**: *Retain for life of facility; then discard*.

~~60~~34. 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)

~~61~~35. 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)

~~62~~36. 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)

~~63~~37. Work Orders

Work orders document maintenance requests for City facilities. **Disposition**: *Discard after 2 years*. (GC 34090)

CUSTODIAL

~~64~~38. 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

~~65~~39. 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)

~~66~~40. 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)

~~67~~41. 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.*

~~68~~42. 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)

~~69~~43. 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)

~~70~~44. 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

~~71~~45. Accounts Payable

Files contain the original purchase orders for the Motor Pool. **Disposition**: *Discard after 2 years*. (GC 34090.7)

~~72~~46. 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*.

~~73~~47. 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*.

~~74~~48. 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)

~~75~~49. 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*.

~~76~~50. 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

~~77~~51. Billing Files

Files document money owed by the public for parking in parking structures. **Disposition**: *Discard after 2 years*. (GC 34090.7)

~~78~~52. 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*

~~79~~53. 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)

~~80~~54. 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)

~~81~~55. 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)

~~82~~56. 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)

~~83~~57. 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)

~~84~~58. 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)

~~85~~59. 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)

~~86~~60. 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)

~~87~~61. 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)

~~88~~62. Treasury Reports
Files document daily revenue bank deposits. Record copy is in the Finance Department. **Disposition**: *Discard after 2 years*. (GC 34090.7)

~~89~~63. 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

~~90~~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)

~~91~~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*

~~92~~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)

~~93~~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)

~~94~~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

~~95~~69. 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)

~~96~~70. 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)

~~97~~71. 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*.

~~98~~72. 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)

~~99~~73. 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*.

~~100~~74. 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

~~101~~75. 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)

~~102~~76. 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

~~103~~77. Board of Water Commissioners Minutes

Files contain minutes of Board of Water Commissioners meetings. **Disposition**: *Permanent*

~~104~~78. 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)

~~105~~79. 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

~~106~~80. 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)

~~107~~81. 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)

~~108~~82. 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)

~~109~~83. Geological Log

Logs record calculations and geological information associated with the construction of Mission Tunnel. **Disposition**: *Permanent*

~~110~~84. 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*

~~111~~85. 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*

~~112~~86. 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*

~~113~~87. 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*

~~114~~88. 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*

~~115~~89. 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)

~~116~~90. Vehicle Maintenance Slips
Files document repairs to Water Resources vehicles. **Disposition**: *Retain for life of vehicle, then discard*. (CA PUC Res. #A-4691)

~~117~~91. 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*.

~~118~~92. 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*.

~~119~~93. 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

~~120~~94. Annual Water Quality Report

These reports are submitted to the California State Department of Health, Office of Drinking Water, and ~~they~~ document the quality of Santa Barbara's waste water and drinking water. Separate reports are generated for waste water and drinking water. Current reports ~~is a~~ are vital records. **Disposition:** *Permanent.*

~~(a)Waste water files. **Disposition**: *Discard after 5 years.* (HSC 25200.3)~~

~~(b) Drinking water files. **Disposition**: *Discard after 10 years.* (CA PUC Res. #A-4691)~~

~~121~~95. 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)

~~122~~96. Raw Data Files

Waste water and drinking water monitoring data. Reports to the California Department of Health Services are based on ~~raw~~ 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)

~~123~~97. 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

~~124~~98. 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)

~~125~~99. 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**: *~~Discard after 5 years~~Retain permanently*. (40 CFR 122.41)

~~126~~100. 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

~~127~~101. Annual Reports
Annual reports of the activities of the Cater Water Treatment Plant. **Disposition**: *Permanent*

~~128~~102. 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)

~~129~~103. 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**: *~~Discard after 10 years~~Retain for life of facility*. (CA PUC Res. #A-4691)

~~130~~104. 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*

~~131~~105. 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**: ~~*Discard after 2 years or when superseded*~~*Retain for life of the facility*. (GC 34090)

~~132~~106. 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**: ~~*Discard after 6 years*~~*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)

~~133~~107. 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*

~~134~~108. 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**: ~~*Discard after 10 years*~~*Retain for life of the facility*. (CA PUC Res. #A-4691)

~~135~~109. Plant Operator Daily Logs

These are logs of daily activities of Cater Water Treatment Plant operators. **Disposition**: ~~*Discard after 6 years*~~*Retain for life of the facility*. (National Association of Regulatory Utility Commissioners 23.3a)

~~136~~110. Safety Meeting Minutes

These are minutes of staff safety meetings at which safety procedures are discussed. **Disposition**: *Discard after 3 years*.

~~137~~111. 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*

~~138~~112. Well and Water Quality Files

Files contain data on wells, water levels, and water quality in Santa Barbara. **Disposition**: *Permanent*

WATER SUPPLY MANAGEMENT DIVISION

~~139~~113. 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)

~~140~~114. 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)

~~141~~115. 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. 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*

34. 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)

35. 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)

36. 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)

37. 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
SHC	California Streets and Highways Code
VC	California Vehicle Code
UFC	Uniform Fire Code

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	▪ 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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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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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	Within 6 years: ▪ 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	Within 4 years: ▪ 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	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: ▪ 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	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: ▪ 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	Within 3 years: ▪ 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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Citation	Type	Content
CCP 338 (continued)	I	Within 3 years: ▪ 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	Within 2 years: ▪ 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	Within 1 year: ▪ 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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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	Trial court clerks may destroy court records when the following times have expired after final disposition of the case. ▪ 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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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. ▪ 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.

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 Regulations; 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; SHC=California Streets and Highways Code; VC=California Vehicle Code; UFC=Uniform Fire Code

I=Information; R=Information that may be helpful in assigning retention periods

Citation	Type	Content
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.~~040~~060	R	Retain written quotations for contracts under $~~10~~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.

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 Regulations; 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; SHC=California Streets and Highways Code; VC=California Vehicle Code; UFC=Uniform Fire Code

I=Information; R=Information that may be helpful in assigning retention periods

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~~	~~Council Agenda Report Files~~	~~HA~~	~~C~~	~~E~~	
Administrative Services: City Clerk	Grant Deeds	HA	C	R & I	
Administrative Services: City Clerk	~~Ordinances~~Municipal Code	HA	C	R & I	
~~Administrative Services: City Clerk~~	~~Reports~~	~~HA~~	~~C~~	~~E~~	
Administrative Services: Human Resources	Eligibility Files	HA	All	R & I	
Administrative Services: Human Resources	Examination Files	HA	All	R & I	
~~Administrative Services: Human Resources~~	~~Exit Interviews~~	~~HA~~	~~All~~	~~R & I~~	
~~Administrative Services: Human Resources~~	~~Personnel Folders (active and inactive)~~	~~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

Original Medium: HA=Hard copy (i.e., paper); MA=Machine-readable media (i.e. magnetic medium or optical disk). **All or Current:** C=Current; C+1=Current plus one year; Pre-audit=Prior to audit.
Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
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
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	

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Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
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	
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	

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Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
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	
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

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Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
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
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	

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Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
Police: Business Office	Personnel Background Files	HA	All	R & I	
Police: Business Office	Personnel Background Files (unsuccessful)	HA	C	R & I	
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 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	All	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	All	E	Electronic file only

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Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
Public Works: Engineering	Waterfront Design Files	HA	C	R & I	
Public Works: Engineering	Water Resources Design Files	HA	C	R & I	Plans only
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	

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Type of Vital Record: E=Emergency Operating; R&I=Rights-and-Interests

Dept./Div.	Title	Original Medium	All or Current	Type of V.R.	Comments
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	
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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Agenda Item No._____

File Code No. 640.07

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: Planning Division, Community Development Department

SUBJECT: Decision And Findings Resolution For The Approval Of The 226 & 232 Eucalyptus Hill Drive Project

RECOMMENDATION:

That Council adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Regarding the Appeal of the City Planning Commission's Approval of Two Additional Residences for 226 and 232 Eucalyptus Hill Drive Pursuant to the Authority of Santa Barbara Municipal Code Section 28.93.030(E) and the Approval of a Lot Line Adjustment Between the Two Adjacent Applicant Parcels.

DISCUSSION:

On November 17, 2009, the City Council denied the appeal filed by neighbors, June Sochel, Tony and Caroline Vassallo and Ernie Salomon, and upheld the Planning Commission's decision to adopt the Final Mitigated Negative Declaration and approve the Lot Line Adjustment, Street Frontage Modifications and Performance Standard Permits to create four new homes and associated improvements proposed at 226 and 232 Eucalyptus Hill Drive, subject to revised conditions of approval. Staff was directed to prepare and submit a Decision and Findings Resolution to the City Council for adoption. Following this Council Agenda Report is the Decision and Findings Resolution which imposes the revised conditions of approval.

PREPARED BY: Kathleen Kennedy, Associate Planner

SUBMITTED BY: Paul Casey, Community Development Director

APPROVED BY: City Administrator's Office

RESOLUTION NO. _____

A RESOLUTION OF THE COUNCIL OF THE CITY OF SANTA BARBARA REGARDING THE APPEAL OF THE CITY PLANNING COMMISSION'S APPROVAL OF TWO ADDITIONAL RESIDENCES FOR 226 AND 232 EUCALYPTUS HILL DRIVE PURSUANT TO THE AUTHORITY OF SANTA BARBARA MUNICIPAL CODE SECTION 28.93.030(E) AND THE APPROVAL OF A LOT LINE ADJUSTMENT BETWEEN THE TWO ADJACENT APPLICANT PARCELS.

WHEREAS, Cynthia Howard, the owner of the real property located at 226 and 232 Eucalyptus Hills Road applied to the City pursuant to the City's Zoning Ordinance for the approval of a residential development project – hereinafter the Howard Project;

WHEREAS, the Howard Project consists of a Lot Line Adjustment between two parcels located at 226 and 232 Eucalyptus Hills Road. Newly proposed Parcel 1 (the upper parcel adjacent to the street) would be 2.47 acres and proposed Parcel 2 (lower parcel) would be 3.10 acres. The existing single-family residence and greenhouse foundation would be demolished. Two new single-family residences would be constructed on each parcel, for a total of four. Parcel 1 would include a new 6,129 square foot residence with an attached 743 square foot garage plus a new 1,150 square foot residence with a 320 square foot garage, and a detached 430 square foot garage. Parcel 2 would include a new 3,700 square foot residence with a 747 square foot attached garage plus a new 1,250 square foot residence with a 352 square foot subterranean garage. Proposed drainage facilities include a storm drain and concrete swale crossing 860 Woodland Drive, a property located south of the project site, also owned by the applicant. The project site is accessed from Eucalyptus Hill Drive, a private road. The total grading quantities for both parcels include 3,090 cubic yards of cut and 2,830 cubic yards of fill. Street Frontage Modifications are requested to allow less than the required 100 feet of frontage on a public street for each newly configured parcel. Performance Standard Permits are requested to allow an additional dwelling unit on each parcel;

WHEREAS, on November 17, 2009, the City Council met in regular session to hear the appeal filed by neighbors June Sochel, Tony and Caroline Vassallo and Ernie Salomon (hereinafter the "Appellants") of the Planning Commission's approval of an application filed by Brent Daniels, agent for Applicant, Cynthia Howard, for a Lot Line Adjustment, Street Frontage Modification, and Performance Standard Permits for the properties located at 226 and 232 Eucalyptus Hill Drive;

WHEREAS, having conducted a site visit on November 16, 2009, the Council held a duly noticed public hearing on the appeal, and after hearing and accepted the City staff report, as well as oral and written testimony from the Appellants, the applicant's representatives, and members of the public;

WHEREAS, the Appellants challenged the Planning Commission approval of the Project, citing, among other issues, their concerns as adjacent neighboring property owners regarding

drainage, the grading required for the Project, and the potential precedent created by an approval this application;

WHEREAS, the Applicant presented extensive information and diagrams regarding the drainage improvements for the neighboring properties and the neighborhood included in the Project, as well as information on how the nature of the grading was balanced on site, in addition to the details of the potential development that could occur even if the Howard application was denied, which distinguished this Project from other hillside properties;

WHEREAS, members of the public spoke both in favor and against the appeal; and

WHEREAS, after consideration of the evidence presented, the testimony received, and deliberation by the Councilmembers, the majority of the Council concluded that the Project's drainage improvements were appropriate and would be of benefit to the neighborhood and the neighboring properties since they would potentially result in a net decrease in site drainage to neighboring properties and that, as a result, the Project grading was acceptable and in keeping with the City's Zoning Ordinance and the General Plan, and that the appeal should be denied.

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

SECTION 1. The City Council has read and fully considered the Project's Final Mitigated Negative Declaration and, in hereby adopting the Final Mitigated Negative Declaration, has determined, in the Council's independent judgment and analysis and on the basis of the whole record before the City Council, that there is no substantial evidence that the Howard Project, as mitigated, will have a significant effect on the environment.

SECTION 2. The appeal filed by neighbors June Sochel, Tony and Caroline Vassallo and Ernie Salomon did not present any evidence, in particular substantial evidence based on expert testimony, of any potentially adverse impact on the environment which might be caused by the Project and, as a result, their Appeal is hereby denied and the City Council upholds the decision of the Planning Commission, thereby approving the Howard Project and making the findings and determinations in support thereof contained in Planning Commission Resolution No. 031-09.

SECTION 3. The City Council approves the granting of the Howard request for a Street Frontage Modification pursuant to Santa Barbara Municipal Code Section 28.15.080, making the same findings in support of that modification as are necessary and as those described in Planning Commission Resolution No. 031-09 which support a determination that to require the Section 28.15.080 public street frontage in this case would create an unreasonable hardship on the Applicant since this project is located on a short quiet private street and since the re-configuration of the Howard parcels proposed by this Project (along with the new home development being proposed) will have more than adequate access from the City's Eucalyptus Hills Road by way of the private street Eucalyptus Hills Drive. As such, this modification is fully consistent with the purposes of and intent of this particular requirement of the City's Zoning Ordinance and it allows Ms. Howard to construct appropriate improvements on her property.

SECTION 4. The City Council also approves the requested Lot Line Adjustment pursuant to Santa Barbara Municipal Code Section 27.40, making the findings contained in Planning Commission Resolution No. 031-09 that the re-configures lots are fully consistent with the City's General Plan and Zoning Ordinance and, additionally, finding that this approval is fully consistent with the limited authority allowed by the State Subdivision Map Act with respect to the approval or disapproval of a lot line adjustments to two legal parcels of land.

SECTION 5. The Council also grants the Performance Standard Permits requested by Howard pursuant to Santa Barbara Municipal Code Section 28.93.030E, finding that the application for two separate homes on each new parcel meets the requirements of SBMC Section 28.93.030E that each parcel contain at least twice the minimum lot size required by the applicable residential zoning and that the ingress and egress driveways and plans for each these new parcels and the new homes to be constructed on those parcels will be more than adequate.

SECTION 6. The City Council also adopts the Howard Project Conditions of Approval (dated November 17, 2009 as amended by staff at the public hearing) as attached hereto as Exhibit A.

EXHIBIT A

REVISED
CONDITIONS OF APPROVAL

226 & 232 EUCALYPTUS HILL DRIVE
LOT LINE ADJUSTMENT, STREET FRONTAGE MODIFICATIONS, PERFORMANCE STANDARD PERMITS
NOVEMBER 17, 2009

I. In consideration of the project approval granted by the Planning Commission for the benefit of the owner(s) and occupant(s) of the Real Property, the owners and occupants of adjacent real property and the public generally, the following terms and conditions are imposed on the use, possession and enjoyment of the Real Property:

A. **California Department of Fish and Game Fees Required.** Pursuant to Section 21089(b) of the California Public Resources Code and Section 711.4 et. seq. of the California Fish and Game Code, the approval of this permit/project shall not be considered final unless the specified Department of Fish and Game fees are paid and filed with the California Department of Fish and Game within five days of the project approval. The current fee required is $1,993 for projects with Mitigated Negative Declarations. Without the appropriate fee, the Notice of Determination (which the City is required to file within five days of project approval) cannot be filed and the project approval is not operative, vested or final. The fee shall be delivered to the Planning Division immediately upon project approval in the form of a check payable to the California Department of Fish and Game.

B. **Design Review.** The project is subject to the review and approval of the Single Family Design Board (SFDB). The SFDB shall not grant preliminary approval of the project until the following Planning Commission land use conditions have been satisfied.

1. **Landscape Plan.** The final landscape plan shall adhere to the Fire Department Landscape Guidelines for properties that are in the high fire hazard area. The plan shall be reviewed and approved by the Single Family Design Board and the Fire Department. (H-2)

2. **Oak Tree Replacement.** A replacement of the four oaks proposed for removal shall include the planting, management, and long-term maintenance of 70 1-gallon young saplings per the recommendations of the Oak Tree Protection Plan. (B-2)

3. **Irrigation System.** The irrigation system shall be designed and maintained with the most current technology to prevent a system failure and watering of vegetation on the steep slope shall be kept to the minimum necessary for plant survival.

4. **Permeable Paving.** Permeable/porous paving materials shall be utilized where possible to reduce the impermeability of hardscape surfaces. (W-3)

5. **Drainage System**. The above grade drainage system proposed for 860 Woodland Drive shall be screened from public view and the private view from 850 Woodland Drive.

C. **Recorded Conditions Agreement.** Prior to the issuance of any Public Works permit or Building permit for the project on the Real Property, the Owner shall execute a written instrument, which shall be reviewed as to form and content by the City Attorney, Community Development Director and Public Works Director, recorded in the Office of the County Recorder, and shall include the following:

1. **Approved Development.** The development of the Real Property approved by the Planning Commission on August 20, 2009 is limited to a Lot Line Adjustment, Street Frontage Modifications, Performance Standard Permits and the improvements shown on the plans, including landscaping and hardscape work associated with the proposed residences and associated garages signed by the Chair of the Planning Commission on said date and on file at the City of Santa Barbara.

2. **Uninterrupted Water Flow.** The Owner shall provide for the uninterrupted flow of water through the Real Property including, but not limited to, swales, natural water courses, conduits and any access road, as appropriate.

3. **Recreational Vehicle Storage Limitation.** No recreational vehicles, boats or trailers shall be stored on the Real Property unless enclosed or concealed from view as approved by the Single Family Design Board (SFDB).

4. **Landscape Plan Compliance.** The Owner shall comply with the Landscape Plan approved by the Single Family Design Board (SFDB) and the Fire Department. Such plan shall not be modified unless prior written approval is obtained from the SFDB and Fire Department. The landscaping on the Real Property shall be provided and maintained in accordance with said landscape plan.

5. **Geotechnical Liability Limitation.** The Owner understands and is advised that the site may be subject to extraordinary hazards from landslides, erosion, retreat, settlement, or subsidence and assumes liability for such hazards. The Owner unconditionally waives any present, future, and unforeseen claims of liability on the part of the City arising from the aforementioned or other natural hazards and relating to this permit approval, as a condition of this approval. Further, the Owner agrees to indemnify and hold harmless the City and its employees for any alleged or proven acts or omissions and related cost of defense, related to the City's approval of this permit and arising from the aforementioned or other natural hazards whether such claims should be stated by the Owner's successor-in-interest or third parties.

6. **Existing Tree Preservation.** The existing tree(s) shown on the approved Tree Preservation and Removal Plan to be retained shall be preserved and protected.

7. **Habitat Protection.** The two eucalyptus trees identified as a great horned owl roost and an acorn granary, shall be retained and protected per the recommendations of the Biological Assessment dated October 26, 2006, and as noted on the Tree Preservation Plan. (B-3)

8. **High Fire Vegetation Management.** Residences located in the High Fire Hazard area are required to maintain vegetation to create an effective fuel break by thinning dense vegetation (mosaic style) and removing dry brush, flammable vegetation and combustible growth from areas within 100 feet of all buildings or structures. The owner(s) shall perform the following maintenance annually for the life of the project:

a. Cut and remove hazardous brush, shrubs, and flammable vegetation such as dry grass and weeds within 100 feet of any structure and within 2 inches of the ground.

b. Thin brush from streets and driveways both horizontally and vertically along the property. Flammable vegetation must be cleared on each side of the street or driveway for a distance of 10 feet and a vertical distance of 13 feet, 6 inches. Vegetation must be cut to within 2 inches of the ground. This applies to the public or private driveway and any public or private streets that border the property.

c. Remove dead wood, trim the lower branches, and limb all live trees to 6 feet above the ground (or as much as possible with younger, smaller trees), especially trees adjacent to buildings.

d. Trim tree limbs back a minimum distance of 10 feet from any chimney opening.

e. Remove all dead trees from the property.

f. Maintain the roof of all structures free of leaves, needles or other vegetative debris.

g. Legally dispose of all cut vegetation, including any debris left from previous tree trimming and brush removal. Cut vegetation may be chipped and spread throughout the property as a ground cover, up to 12 inches in depth, and at least 30 feet from any structure. (H-1)

9. **Storm Water Pollution Control and Drainage Systems Maintenance.** Owner shall maintain the drainage system and storm water pollution control devices intended to intercept siltation and other potential pollutants (including, but not limited to, hydrocarbons, fecal bacteria, herbicides, fertilizers, etc.) in a functioning state (and in accordance with the Operations and Maintenance Procedure Plan prepared in accordance with the Storm Water Management Plan BMP Guidance Manual). Should any of the project's surface or subsurface drainage structures or storm water pollution control methods fail to capture, infiltrate, and/or treat water, or result in increased erosion, the Owner shall be responsible for any necessary repairs to the system and restoration of the eroded area. Should repairs or restoration become necessary, prior to the commencement of such repair or restoration work, the applicant shall submit a repair and restoration plan to the Community Development Director to determine if an amendment or a new Building Permit is required to authorize such work. The Owner is responsible for the adequacy of any project-related drainage facilities and for the continued maintenance thereof in a manner that will preclude any hazard to life, health, or damage to the Real Property or any adjoining property.

10. **Required Private Covenants.** Owners shall execute and record in the official records of Santa Barbara County appropriate and necessary covenants of easement to provide for access, utilities, and drainage for the adjusted parcels. The covenants

of easement shall provide express method for the appropriate and regular maintenance of the common improvements, which methodology shall also provide for an appropriate cost-sharing of such regular maintenance should the parcels be sold into separate ownership.

11. **Participation in the Eucalyptus Hill Vegetation Management Unit.** Participate in the Eucalyptus Hill Vegetation Management Unit to reduce fire hazards in the area. If a community project is underway, the Owner shall participate in cooperative vegetation management, public education, or other community solutions to reduce hazard and risk.

D. **Public Works Requirements Prior to Building/Grading Permit Issuance.** The Owner shall submit the following, or evidence of completion of the following to the Public Works Department for review and approval, prior to the issuance of a Building Permit for the project:

1. **Lot Line Adjustment Required.** The Owner shall submit an executed Agreement Related to the Lot Line Adjustment, Quitclaim Deed and Acceptance Thereof/Declarations of Lot Line Adjustment to the Public Works Department, including the legal description of the subject properties prior to, and following the lot line adjustment. A licensed surveyor shall prepare the legal description and said Agreement/Declaration shall be recorded in the Office of the County Recorder.

2. **Easement(s).** Covenants of Easement described as follows, subject to approval of the easement scope and location by the Public Works Department and/or the Building and Safety Division:

   a. A variable width Covenant of Easement for Ingress, Egress, Drainage, Public and Private Utilities and Other Incidental Purposes, as shown on Lot Line Adjustment Map, and recorded by separate instrument.

   b. A ten-foot wide Covenant of Easement for sewer and drainage for the benefit of Adjusted Lot 1, as shown on the Lot Line Adjustment Map, and recorded by separate instrument.

   c. A ten-foot wide Covenant of Easement for sewer and drainage purposes for the benefit of Adjusted Lot 1 and Adjusted Lot 2 through the adjacent property known as 860 Woodland Drive, and recorded by separate instrument. The easement shall be located north of the pittosporum hedge (which is located north of both 850 Woodland Drive and the top of slope) on the south side of 860 Woodland Drive, to the extent feasible.

3. **Water Rights Assignment Agreement.** The Owner shall assign to the City of Santa Barbara the exclusive right to extract ground water from under the Real Property in an "Agreement Assigning Water Extraction Rights." Engineering Division Staff will prepare said agreement for the Owner's signature.

4. **Drainage Calculations.** The Owner shall submit drainage calculations prepared by a registered civil engineer or licensed architect demonstrating that the new

development will not increase runoff amounts above existing conditions for a 25-year storm event. Any increase in runoff shall be retained on-site.

5. **Drainage and Water Quality.** Project drainage shall be designed, installed, and maintained such that stormwater runoff from the first inch of rain from any storm event shall be retained and treated onsite in accordance with the City's NPDES Storm Water Management Permit. Project plans for grading, drainage, stormwater treatment methods, and project development, shall be subject to review and approval by City Building Division and Public Works Department. Sufficient engineered design and adequate measures shall be employed to ensure that no significant construction-related or long-term effects from increased runoff, erosion and sedimentation, urban water pollutants, or groundwater pollutants would result from the project. The Owner shall maintain the drainage system and storm water pollution control methods in a functioning state. (W-1)

6. **Alston Road and Woodland Drive Public Improvement Plans.** The Owner shall submit C-1 public improvement plans for construction of improvements along Alston Road and Woodland Drive. The C-1 plans shall be submitted separately from plans submitted for a Building Permit.

   As determined by the Public Works Department, the Alston Road improvements shall include new and/or remove and replace to City Standards, the following: approximately sixty feet (60') of thirty-six inch (36") RCP storm drain; one (1) drop inlet; storm drain stenciling; connection to existing thirty-six inch (36") storm drain crossing Alston Road; approximately sixty feet (60') curb and gutter, asphalt concrete, and crack seal to the centerline of the street along entire new storm drain frontage and a minimum of twenty feet (20') beyond the limit of all trenching.

   As determined by the Public Works Department, at the time of permit issuance, the Woodland Drive improvements shall include new and/or remove and replace to City Standards, the following: any modifications to the on-site retention/detention stormwater system necessary to reduce point discharge to the Public right-of-way to meet the City Construction Standard Details for Drain Outlets (In the event that on-site modifications are unable to achieve the City Standard for flow rate at Drain Outlets, as measured at the time of construction of the modifications, the Owner will install approximately five hundred feet (500') of eighteen inch (18") RCP storm drain); approximately twenty (20') feet curb and gutter, asphalt concrete, and crack seal adjacent to the area of improvement, the width of the 800 block of Woodland Drive.

   For both Alston Road and Woodland Drive: public drainage improvements shall include supporting drainage calculations and/or hydrology report for installation of drainage pipe, erosion protection (provide off-site storm water BMP plan) etc.; preserve and/or reset survey monuments and contractor stamps; and provide adequate positive drainage from site. Any work in the public right-of-way requires a Public Works Permit.

7. **Agreement to Construct and Install Improvements.** The Owner shall submit an executed Agreement to Construct and Install Improvements, prepared by the Engineering Division, an Engineer's Estimate, signed and stamped by a registered civil engineer, and securities for construction of improvements prior to execution of the agreement.

8. **Removal or Relocation of Public Facilities.** Removal or relocation of any public utilities or structures must be performed by the Owner or by the person or persons having ownership or control thereof.

9. **Approved Public Improvement Plans and Concurrent Issuance of Public Works Permit.** Upon acceptance of the approved public improvement plans, a Public Works permit shall be issued concurrently with a Building permit. The C-1 public improvement plans may be bonded for prior to concurrent Building permit issuance.

10. **Landscape Plan Approval Required.** The landscape plan shall be reviewed and approved by the Transportation Planning Division to ensure compliance with sight visibility requirements.

E. **Community Development Requirements Prior to Building or Public Works Permit Application/Issuance.** The following shall be finalized prior to, and/or submitted with, the application for any Building or Public Works permit:

1. **Project Environmental Coordinator Required.** Submit to the Planning Division a contract with a qualified representative for the Owner, subject to approval of the contract and the representative by the Planning Division, to act as the Project Environmental Coordinator (PEC). The PEC shall be responsible for assuring full compliance with the provisions of the Mitigation Monitoring and Reporting Program (MMRP) and Conditions of Approval to the City. The contract shall include the following, at a minimum:

    a. The frequency and/or schedule of the monitoring of the mitigation measures.

    b. A method for monitoring the mitigation measures.

    c. A list of reporting procedures, including the responsible party, and frequency.

    d. A list of other monitors to be hired, if applicable, and their qualifications.

    e. Submittal of biweekly reports during demolition, excavation, grading and footing installation and biweekly reports on all other construction activity regarding MMRP and condition compliance by the PEC to the Community Development Department/case planner.

The PEC shall have authority over all other monitors/specialists, the contractor, and all construction personnel for those actions that relate to the items listed in the

MMRP and conditions of approval, including the authority to stop work, if necessary, to achieve compliance with mitigation measures.

2. **Nesting Native Birds.** Construction activities including tree and vegetation removal shall occur outside the breeding bird season (February 1 – August 15). If project activities cannot be feasibly avoided during the bird nesting season the owner shall conduct a minimum of four weekly bird surveys, using a qualified biologist with experience in conducting breeding bird surveys, approved by the City Environmental Analyst, to detect protected nesting native birds in the vegetation and trees to be removed and within 300 feet of the construction work area. The surveys shall begin 30 days prior to the disturbance of suitable nesting habitat and conducted on a weekly basis with the last survey conducted no more than three days before construction is initiated. If an active nest is located, construction within 500 feet of a raptor nest and 300 feet of any other nesting bird, vegetation clearing and tree removal shall be postponed until the nest is vacated and juveniles have fledged and there is no evidence of a second attempt at nesting. This shall be confirmed by the qualified biologist. Nesting areas to be avoided during construction shall be marked and protected with flagging and stakes or construction fencing at least 300 feet or 500 feet (if applicable) from the nest.

3. **Neighborhood Notification Prior to Construction.** At least twenty (20) days prior to commencement of construction, the contractor shall provide written notice to all property owners, businesses and residents within 450 feet of the project area. The notice shall contain a description of the project, the construction schedule, including days and hours of construction, the name and phone number of the Project Environmental Coordinator (PEC) and Contractor(s), site rules and Conditions of Approval pertaining to construction activities and any additional information that will assist the Building Inspectors, Police Officers and the public in addressing problems that may arise during construction. The language of the notice and the mailing list shall be reviewed and approved by the Planning Division prior to being distributed. An affidavit signed by the person(s) who compiled the mailing list shall be submitted to the Planning Division.

4. **Contractor and Subcontractor Notification.** The Owner shall notify in writing all contractors and subcontractors of the site rules, restrictions and Conditions of Approval. Submit a copy of the notice to the Planning Division.

5. **Arborist's Monitoring.** Submit to the Planning Division a contract with a qualified arborist for monitoring of all work within the dripline of all oak trees during construction. The contract shall include a schedule for the arborist's presence during grading and construction activities, and is subject to the review and approval of the Planning Division.

6. **Letter of Commitment for Pre-Construction Conference.** The Owner shall submit to the Planning Division a letter of commitment that states that, prior to disturbing any part of the project site for any reason and after the Building permit has been issued, the General Contractor shall schedule a conference to review site

conditions, construction schedule, construction conditions, and environmental monitoring requirements. The conference shall be held within twenty days of the commencement of construction and shall include representatives from the Public Works Department Engineering and Transportation Divisions, the assigned Building Inspector, the Planning Division, the Property Owner, the Landscape Architect, the Biologist, the Project Engineer, the Project Environmental Coordinator, the Contractor and each subcontractor.

7. **Final Planning Commission Resolution Submittal.** The final Planning Commission Resolution shall be submitted, indicating how each condition is met with drawing sheet and/or note references to verify condition compliance. If the condition relates to a document submittal, describe the status of the submittal (e.g., Final Map submitted to Public Works Department for review), and attach documents as appropriate.

F. **Building Permit Plan Requirements.** The following requirements/notes shall be incorporated into the construction plans submitted to the Building and Safety Division for Building permits.

1. **Design Review Requirements.** Plans shall show all design, landscape and tree protection elements, as approved by the Single Family Design Board, outlined in Section B above.

2. **Mitigation Monitoring and Reporting Requirement.** Note on the plans that the Owner shall implement the Mitigation Monitoring and Reporting Program (MMRP) for the project's mitigation measures, as stated in the Mitigated Negative Declaration for the project.

3. **Grading Plan Requirement for Archaeological Resources.** The following information shall be printed on the grading plans:

   If archaeological resources are encountered or suspected, work shall be halted or redirected immediately and the Planning Division shall be notified. The archaeologist shall assess the nature, extent, and significance of any discoveries and develop appropriate management recommendations for archaeological resource treatment, which may include, but are not limited to, redirection of grading and/or excavation activities, consultation and/or monitoring with a Barbareño Chumash representative from the most current City Qualified Barbareño Chumash Site Monitors List, etc.

   If the discovery consists of possible human remains, the Santa Barbara County Coroner shall be contacted immediately. If the Coroner determines that the remains are Native American, the Coroner shall contact the California Native American Heritage Commission. A Barbareño Chumash representative from the most current City Qualified Barbareño Chumash Site Monitors List shall be retained to monitor all further subsurface disturbance in the area of the find. Work in the area may only proceed after the Planning Division grants authorization.

If the discovery consists of possible prehistoric or Native American artifacts or materials, a Barbareño Chumash representative from the most current City Qualified Barbareño Chumash Site Monitors List shall be retained to monitor all further subsurface disturbance in the area of the find. Work in the area may only proceed after the Planning Division grants authorization.

4. **Post-Construction Erosion Control and Water Quality Plan.** Provide an engineered drainage plan that addresses the existing drainage patterns and leads towards improvement of the quality and rate of water run-off conditions from the site by capturing, infiltrating, and/or treating drainage and preventing erosion. The Owner shall employ passive water quality methods, such as bioswales, catch basins, or storm drain on the Real Property, or other measures specified in the Erosion Control Plan, to intercept all sediment and other potential pollutants (including, but not limited to, hydrocarbons, fecal bacteria, herbicides, fertilizers, etc.) from the parking lot areas and other improved, hard-surfaced areas prior to discharge into the public storm drain system, including any creeks. All proposed methods shall be reviewed and approved by the Public Works Department and the Community Development Department. Maintenance of these facilities shall be provided by the Owner, as outlined in Condition C.9 above, which shall include the regular sweeping and/or vacuuming of parking areas and drainage and storm water methods maintenance program. (W-2)

5. **Grading and Foundation Recommendations.** Site preparation, grading and project construction related to soil conditions shall be in accordance with the recommendations contained in the Engineering Geology and Geotechnical Engineering Report, prepared by Earth Systems Southern California, and dated July 14, 2006. Compliance shall be demonstrated on plans submitted for grading and/or building permits. (G-1)

6. **Mechanical Parking System**. The upper platform of the mechanical parking system shall be equipped with a barrier or a guide designed to ensure that vehicles parked on the upper deck will not interfere with the access to the garage parking spaces. The lift system shall include a pressure sensitive electric safety edge. The location of the Key-operated control switch for security and safety shall be reviewed and approved by staff prior to issuance of a Building Permit for this residence.

7. **Conditions on Plans/Signatures.** The final Planning Commission Resolution shall be provided on a full size drawing sheet as part of the drawing sets. Each condition shall have a sheet and/or note reference to verify condition compliance. If the condition relates to a document submittal, indicate the status of the submittal (e.g., Final Map submitted to Public Works Department for review). A statement shall also be placed on the above sheet as follows: The undersigned have read and understand the above conditions, and agree to abide by any and all conditions which is their usual and customary responsibility to perform, and which are within their authority to perform.

Signed:

Property Owner	Date	
Contractor	Date	License No.
Architect	Date	License No.
Engineer	Date	License No.

G. **Construction Implementation Requirements.** All of these construction requirements shall be carried out in the field for the duration of the project construction.

1. **Pre-Construction Conference.** Not less than 10 days or more than 20 days prior to commencement of construction, a conference to review site conditions, construction schedule, construction conditions, and environmental monitoring requirements, shall be held by the General Contractor. The conference shall include representatives from the Public Works Department Engineering and Transportation Divisions, Building Division, Planning Division, the Property Owner (Arborist, Landscape Architect, Biologist, Project Engineer, Project Environmental Coordinator, Mitigation Monitors), Contractor and each Subcontractor.

2. **Demolition/Construction Materials Recycling.** Recycling and/or reuse of demolition/construction materials shall be carried out to the extent feasible, and containers shall be provided on site for that purpose, in order to minimize construction-generated waste conveyed to the landfill. Indicate on the plans the location of a container of sufficient size to handle the materials, subject to review and approval by the City Solid Waste Specialist, for collection of demolition/construction materials. A minimum of 90% of demolition and construction materials shall be recycled or reused. Evidence shall be submitted at each inspection to show that recycling and/or reuse goals are being met.

3. **Construction-Related Truck Trips.** Construction-related truck trips shall not be scheduled during peak hours (7:00 a.m. to 9:00 a.m. and 4:00 p.m. to 6:00 p.m.). The purpose of this condition is to help reduce truck traffic on adjacent streets and roadways. (T-1)

4. **Construction Related Traffic Routes.** The route of construction-related traffic shall be established to minimize trips through surrounding residential neighborhoods, subject to approval by the Transportation Manager. (T-1)

5. **Haul Routes.** The haul route(s) for all construction-related trucks with a gross vehicle weight rating (GVWR) of three tons or more, entering or exiting the site, shall be approved by the Transportation Manager. (T-1)

6. **Construction Hours.** Construction (including preparation for construction work) is prohibited Monday through Friday before 7:00 a.m. and after 5:00 p.m., and all day on Saturdays, Sundays and holidays observed by the City of Santa Barbara, as shown below:

New Year's Day	January 1st*
Martin Luther King's Birthday	3rd Monday in January
Presidents' Day	3rd Monday in February
Cesar Chavez Day	March 31st
Memorial Day	Last Monday in May
Independence Day	July 4th*
Labor Day	1st Monday in September
Thanksgiving Day	4th Thursday in November
Following Thanksgiving Day	Friday following Thanksgiving Day
Christmas Day	December 25th*

*When a holiday falls on a Saturday or Sunday, the preceding Friday or following Monday, respectively, shall be observed as a legal holiday.

When, based on required construction type or other appropriate reasons, it is necessary to do work outside the allowed construction hours, contractor shall contact the Chief of Building and Safety to request a waiver from the above construction hours, using the procedure outlined in Santa Barbara Municipal Code §9.16.015 Construction Work at Night. Contractor shall notify all residents within 300 feet of the parcel of intent to carry out night construction a minimum of 48 hours prior to said construction. Said notification shall include what the work includes, the reason for the work, the duration of the proposed work and a contact number that is answered by a person, not a machine. (N-1)

7. **Construction Equipment Sound Control.** All construction equipment, including trucks, shall be professionally maintained and fitted with standard manufacturers' muffler and silencing devices. (N-2)

8. **Construction Parking/Storage.** Construction parking and storage shall be provided as follows:

   a. During construction, free parking spaces for construction workers shall be provided on-site or off-site in a location subject to the approval of the Public Works Director. Construction workers are prohibited from parking within the public right-of-way, except as outlined in subparagraph b. below.

   b. Parking in the public right of way is permitted as posted by Municipal Code, as reasonably allowed for in the 2006 Greenbook (or latest reference), and with a Public Works permit in restricted

parking zones. No more than three (3) individual parking permits without extensions may be issued for the life of the project

c. Storage or staging of construction materials and equipment within the public right-of-way shall not be permitted, unless approved by the Transportation Manager. (T-2)

9. **Construction Dust Control – Minimize Disturbed Area/Speed.** Minimize amount of disturbed area and reduce on site vehicle speeds to 15 miles per hour or less. (AQ-1)

10. **Construction Dust Control - Watering.** During site grading and transportation of fill materials, regular water sprinkling shall occur using reclaimed water whenever the Public Works Director determines that it is reasonably available. During clearing, grading, earth moving or excavation, sufficient quantities of water, through use of either water trucks or sprinkler systems, shall be applied to prevent dust from leaving the site. Each day, after construction activities cease, the entire area of disturbed soil shall be sufficiently moistened to create a crust.

    Throughout construction, water trucks or sprinkler systems shall also be used to keep all areas of vehicle movement damp enough to prevent dust raised from leaving the site. At a minimum, this will include wetting down such areas in the late morning and after work is completed for the day. Increased watering frequency will be required whenever the wind speed exceeds 15 mph. (AQ-2)

11. **Construction Dust Control – Tarping.** Trucks transporting fill material to and from the site shall be covered from the point of origin. (AQ-3)

12. **Construction Dust Control – Gravel Pads.** Gravel pads shall be installed at all access points to prevent tracking of mud on to public roads. (AQ-4)

13. **Construction Dust Control – Disturbed Area Treatment.** After clearing, grading, earth moving or excavation is complete, the entire area of disturbed soil shall be treated to prevent wind pickup of soil. This may be accomplished by:

    a. Seeding and watering until grass cover is grown.

    b. Spreading soil binders.

    c. Sufficiently wetting the area down to form a crust on the surface with repeated soakings as necessary to maintain the crust and prevent dust pickup by the wind.

    d. Other methods approved in advance by the Air Pollution Control District. (AQ-5)

14. **Construction Equipment Requirements.** The following shall be adhered to during project grading and construction to reduce NOx and particulate emissions from construction equipment:

a. Heavy-duty diesel-powered construction equipment manufactured after 1996 (with federally mandated "clean" diesel engines) shall be utilized wherever feasible.

b. The engine size of construction equipment shall be the minimum practical size.

c. The number of construction equipment operating simultaneously shall be minimized through efficient management practices to ensure that the smallest practical number is operating at any one time.

d. Construction equipment shall be maintained in tune per the manufacturer specifications.

e. Catalytic converters shall be installed on gasoline-powered equipment, if feasible.

f. Diesel powered equipment shall be replaced by electric equipment whenever feasible. (AQ-6)

15. **Construction Best Management Practices (BMPs).** Construction activities shall address water quality through the use of BMPs, as approved by the Building and Safety Division.

16. **Construction Contact Sign.** Immediately after Building permit issuance, signage shall be posted at the points of entry to the site that list the contractor(s) and Project Environmental Coordinator's (PEC's) name, contractor(s) and PEC's telephone number, work hours, site rules, and construction-related conditions, to assist Building Inspectors and Police Officers in the enforcement of the conditions of approval.

17. **Oak Tree Protection.** Tree protection measures for oaks, as recommended in the Oak Tree Protection Plan dated September 21, 2006, shall be followed for the duration of all grading and construction activities associated with the project. (B-1) The oak tree located on the adjacent property at 850 Woodland Drive shall be protected. (This condition assumes that the property owner at 850 Woodland Drive grants temporary access to install and remove appropriate tree protection upon reasonable notice to owners.)

18. **Tree Protection.** All trees not indicated for removal on the site plan shall be preserved, protected and maintained.

19. **Graffiti Abatement Required.** Owner and Contractor shall be responsible for removal of all graffiti as quickly as possible. Graffiti not removed within 24 hours of notice by the Building and Safety Division may result in a Stop Work order being issued, or may be removed by the City, at the Owner's expense, as provided in SBMC Chapter 9.66.

20. **Unanticipated Archaeological Resources Contractor Notification.** Prior to the start of any vegetation or paving removal, demolition, trenching or grading, contractors and construction personnel shall be alerted to the possibility of uncovering unanticipated subsurface archaeological features or artifacts associated with past human occupation of the parcel. If such archaeological resources are encountered or suspected, work shall be halted immediately, the City Environmental Analyst shall be notified and an archaeologist from the most current City Qualified Archaeologists List shall be retained by the applicant. The latter shall be employed to assess the nature, extent and significance of any discoveries and to develop appropriate management recommendations for archaeological resource treatment, which may include, but are not limited to, redirection of grading and/or excavation activities, consultation and/or monitoring with a Barbareño Chumash representative from the most current City qualified Barbareño Chumash Site Monitors List, etc.

    If the discovery consists of possible human remains, the Santa Barbara County Coroner shall be contacted immediately. If the Coroner determines that the remains are Native American, the Coroner shall contact the California Native American Heritage Commission. A Barbareño Chumash representative from the most current City Qualified Barbareño Chumash Site Monitors List shall be retained to monitor all further subsurface disturbance in the area of the find. Work in the area may only proceed after the Environmental Analyst grants authorization.

    If the discovery consists of possible prehistoric or Native American artifacts or materials, a Barbareño Chumash representative from the most current City Qualified Barbareño Chumash Site Monitors List shall be retained to monitor all further subsurface disturbance in the area of the find. Work in the area may only proceed after the Environmental Analyst grants authorization.

H. **Prior to Certificate of Occupancy.** Prior to issuance of the Certificate of Occupancy, the Owner of the Real Property shall complete the following:

1. **Repair Damaged Public Improvements.** Repair any damaged public improvements (curbs, gutters, sidewalks, roadways, etc.) subject to the review and approval of the Public Works Department per SBMC §22.60.090. Where tree roots are the cause of the damage, the roots shall be pruned under the direction of a qualified arborist.

2. **Complete Public Improvements.** Public improvements, as shown in the improvement/building plans, including utility service undergrounding and installation of street trees.

3. **Cross-Connection Inspection.** The Owner shall request a cross connection inspection by the Public Works Water Reclamation/Cross Connection Specialist.

4. **Mitigation Monitoring Report.** Submit a final construction report for mitigation monitoring.

I. **Litigation Indemnification Agreement.** In the event the Planning Commission approval of the Project is appealed to the City Council, Applicant/Owner hereby agrees to defend the City, its officers, employees, agents, consultants and independent contractors ("City's Agents") from any third party legal challenge to the City Council's denial of the appeal and approval of the Project, including, but not limited to, challenges filed pursuant to the California Environmental Quality Act (collectively "Claims"). Applicant/Owner further agrees to indemnify and hold harmless the City and the City's Agents from any award of attorney fees or court costs made in connection with any Claim.

Applicant/Owner shall execute a written agreement, in a form approved by the City Attorney, evidencing the foregoing commitments of defense and indemnification within thirty (30) days of the City Council denial of the appeal and approval of the Project. These commitments of defense and indemnification are material conditions of the approval of the Project. If Applicant/Owner fails to execute the required defense and indemnification agreement within the time allotted, the Project approval shall become null and void absent subsequent acceptance of the agreement by the City, which acceptance shall be within the City's sole and absolute discretion. Nothing contained in this condition shall prevent the City or the City's Agents from independently defending any Claim. If the City or the City's Agents decide to independently defend a Claim, the City and the City's Agents shall bear their own attorney fees, expenses and costs of that independent defense.

NOTICE OF APPROVAL TIME LIMITS:

The Planning Commission's action approving the Lot Line Adjustment, Street Frontage Modifications and Performance Standards Permits shall terminate two (2) years from the date of the approval, per Santa Barbara Municipal Code §28.87.360, unless:

1. An extension is granted by the Community Development Director prior to the expiration of the approval; or
2. A Building permit for the use authorized by the approval is issued within and the construction authorized by the permit is being diligently pursued to completion and issuance of a Certificate of Occupancy.
3. The approval has not been discontinued, abandoned or unused for a period of six months following the earlier of (a) an Issuance of a Certificate of Occupancy for the use, or (b) two (2) years from granting the approval.

Agenda Item No._____

File Code No. 540.14

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: Creeks Division, Parks and Recreation Department

SUBJECT: Professional Services Contract With URS Corporation For Design And Feasibility Analysis Of A MacKenzie Park Parking Lot Runoff Infiltration Project

RECOMMENDATION: That Council:

A. Authorize the Parks and Recreation Director to execute a City professional services agreement with URS Corporation in the amount of $56,470 to perform a feasibility study and prepare final design plans and construction specifications for a MacKenzie Park Parking Lot Runoff Infiltration Project; and

B. Authorize the Parks and Recreation Director to increase these services by ten percent, or $5,647, if necessary in order to cover any cost increases that may result from final design review and construction requirements.

DISCUSSION:

Project Description

The Creeks and Parks Divisions intend to design and install a passive treatment system to treat stormwater and urban runoff through infiltration at the City of Santa Barbara's MacKenzie Park Parking Lot. The primary purpose of the treatment system will be to detain and filter polluted stormwater and incidental urban runoff through passive infiltration without compromising the existing use of the parking lot or the surrounding structures. A secondary purpose of this project will be to serve as a demonstration of how to retrofit an existing parking lot in order to improve water quality while minimizing the cost of construction and post construction maintenance.

Project Review

Stormwater and urban runoff from impervious surfaces are major sources of surface water quality degradation. Runoff from parking lots often contains pollutants including hydrocarbons, fine sediments, polycyclic aromatic hydrocarbons (PAHs), metals, nutrients,

and additional pollutants that are toxic to aquatic organisms and potentially harmful to human health.

MacKenzie Park Parking Lot was chosen for several reasons including the deep groundwater table, its simple shape and stormwater runoff conveyance, and its location situated a safe distance from any existing underground groundwater contamination plumes. Due to some constraints of the site, the volume of runoff to be treated, and the need to construct a project with little operational energy or maintenance requirements with maximum watershed benefit, an infiltration system was determined to be the most suitable treatment method for the MacKenzie parking lot.

Consultant Selection

In August 2009, a request for proposals was distributed to 49 engineering and design firms located throughout California. Five consulting firms submitted proposals and two firms were interviewed (URS Corporation and The Wallace Group).

After careful review, staff recommends URS Corporation, a multi-disciplinary national professional services firm with an office located in Goleta, California. URS Corporation has demonstrated experience with the engineering and design of urban stormwater infiltration projects.

Timeline

It is anticipated the feasibility analysis, final design plans, construction specifications, and permitting will take up to six months to complete. With Council approval of the contract, the project will begin in December 2009, and final design products will be delivered by April 2010. The timeline includes surveys and data analysis, preliminary feasibility and design, permitting, final design and construction specifications, review by the Creeks Advisory Committee, Park and Recreation Commission, and City staff.

BUDGET/FINANCIAL INFORMATION:

The cost to prepare the final designs and construction specifications is $56,470. This amount includes preliminary plan peer review, final design plans and specifications, and bid support for the anticipated project construction phase. A ten percent contingency amount of $5,647 is included to cover cost increases that may result from final design review and construction requirements requested by the City. Including contingency funds, the total cost for the URS Corporation contract is expected to be $62,117.

Funding for the contract will be provided by Fiscal Year 2010 Creeks Capital Funds.

SUSTAINABILITY IMPACT:

Stormwater and urban runoff from impervious surfaces are a major source of surface water quality degradation. Infiltrating polluted runoff provides passive treatment at the source, which enhances watersheds and beaches, reduces damaging peak stormwater flows, recharges groundwater, and requires no power consumption for operation.

PREPARED BY: Cameron Benson, Creeks Restoration/Clean Water Manager

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

APPROVED BY: City Administrator's Office

Agenda Item No._____

File Code No. 540.05

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: Water Resources Division, Public Works Department

SUBJECT: Contract For Water Conservation Technical Evaluation

RECOMMENDATION:

That Council authorize the Public Works Director to negotiate and execute a contract with Maddaus Water Management in a form approved by the City Attorney in the amount of $66,880, for preparation of a water conservation technical evaluation of the City's Water Conservation Program as an element of the City's Long-Term Water Supply Program (LTWSP) update, and authorize the General Services Manager to approve expenditures of up to $6,688 for extra services of Maddaus Water Management that may result from necessary changes in the scope of work.

DISCUSSION:

Staff is conducting a three-phase analysis of the City's Water Conservation Program in support of the *Plan Santa Barbara* process, and an update of the City's Long-Term Water Supply Program. Phase 1 was part of the recently completed Water Supply Planning Study by Carollo Engineers and their subcontractor, Maddaus Water Management. It included collection and review of data for the Water Conservation Program to date and a general assessment of future conservation potential for use in the water supply analysis of the *Plan Santa Barbara* environmental process.

Phase 2, recommended in this report, is a detailed quantitative, technical and cost/benefit evaluation of future options for the Water Conservation Program, to be conducted by Maddaus Water Management. This technical evaluation will provide the Water Conservation Program with a comprehensive technical and economic analysis of the most cost effective options for additional demand reduction through conservation measures. This type of analysis is the current state of the art in water conservation programs and has not previously been completed by the City. The scope of work includes:

- Calibrate the Maddaus Water Management "Decision Support System" water efficiency model (DSS Model) for use in analyzing the City's water service area and demand forecasts using data developed during Phase 1;

- Develop an initial list of approximately 80 conservation measures with potential applicability for the City's program, conduct a screening workshop to discuss each measure and narrow the list of measures for further analysis, and summarize the results in a letter report;

- Evaluate the selected potential conservation measures using the DSS Model and forecast water savings and cost/benefit ratios for each measure by type of customer;

- Package the most appropriate conservation measures for the City into three alternative programs of multiple measures, and evaluate each package in terms of demand reduction, budget impact and suitability for the City's program; and

- Prepare a technical memorandum to document the results of the analysis.

Maddaus Water Management has completed over 150 water conservation technical evaluations in California and across the nation, including recent projects with the East Bay Municipal Water District, the Marin Municipal Water District, and the City of Oceanside. The proposed technical analysis will provide a comprehensive water conservation planning document prepared by a widely recognized water conservation engineering firm to be used to support decision making during the LTWSP update. It will allow credible technical and economic comparisons between water conservation measures and other water supply options. This is particularly important because the City's program has already taken advantage of many conservation opportunities over the past twenty years.

Phase 3 of this process will be staff's work to use the technical analysis to develop conservation recommendations for the updated LTWSP. The Water Commission reviewed the technical evaluation proposal on October 12, 2009 and voted to recommend its approval by Council.

SUSTAINABILITY IMPACT:

Water conservation is a key component of the City's water supply strategy. The proposed technical evaluation will provide important information on opportunities to expand the roles of water conservation in the City's water supply and sustainability efforts.

BUDGET/FINANCIAL INFORMATION:

Funds for the technical evaluation are available in the 2010 Water Fund Operating Budget. This includes approximately $30,000 in funding and work items originally included as part of the Water Supply Planning Study, but reserved for use in this phase of the conservation work.

PREPARED BY: Rebecca Bjork, Water Resources Manager AJ/mh

SUBMITTED BY: Christine F. Andersen, Public Works Director

APPROVED BY: City Administrator's Office

Agenda Item No._____

File Code No. 540.10

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: Water Resources Division, Public Works Department

SUBJECT: Contract For Groundwater Modeling Program

RECOMMENDATION: That Council:

A. Approve a three-year cooperative water resources program between the City and the U.S. Geological Survey (USGS) to update and enhance groundwater models; evaluate the sustainable yield of the City's groundwater resources; and develop decision rules for use in managing supplies from groundwater; and
B. Authorize the Public Works Director to execute annual Joint Funding Agreements with the USGS for Fiscal Years 2010, 2011, and 2012, to implement the three-year program, with the City's portion of the aggregate cost not to exceed $376,925.

DISCUSSION:

Background

Groundwater is an important part of the City's water supply, supplying approximately 1,000 acre-feet per year (AFY) in normal years (7% of total demand), and up to 4,500 AFY during a critical drought period (32% of total demand). Groundwater is also the City's only readily available supply of potable water in the event deliveries from the Santa Ynez River are disrupted. The City's groundwater basins are relatively small compared to other local agencies and must be managed carefully to optimize their role in our water supply.

The City has a long standing relationship with USGS on groundwater supply as well as other issues. Over the years, USGS has written the definitive reports describing the geology and capacity of the City's groundwater basins. They have also developed and maintained groundwater models of each basin. The most recent effort was the development of the Multiple Objective Optimization Model (MOOM) in the early 1990's, which integrated modeling of groundwater with other City water supplies to identify optimal supply scenarios under various conditions. Intrusion of seawater into Storage Unit No. 1 (in the downtown area) is of particular concern because saline groundwater is drawn into the groundwater basin during periods of increased pumping, which occurs

during a drought. Groundwater levels recover relatively quickly after pumping is reduced, but the seawater interface is much slower to return to its prior location. Therefore, tracking this interface is important in terms of estimating the amount of pumping that can be done before the salt content in a given well renders it unusable for potable supply for a substantial period of time.

MOOM was used to evaluate groundwater supplies as a part of the development of the current Long Term Water Supply Program (LTWSP), adopted in 1994. In conjunction with the Plan Santa Barbara process, staff is reviewing information on all of the City's water supplies for use in developing a recommendation to the Water Commission and City Council for an updated LTWSP.

Proposed Cooperative Water Resources Program

The proposed program would consist of four phases conducted over a three-year period:

1. Quantify the present sustainable yield of the Santa Barbara groundwater basins;

2. Evaluate the future sustainable yield of the basins given historical weather variability as well as potential climate change effects;

3. Develop decision rules for evaluating the current status of the basins at any given time; and

4. Document the result of the work in one or more reports.

The work will include the development and calibration of a three-dimensional model of seawater intrusion, building on a two-dimensional model that was developed as part of the earlier MOOM effort. The result will be a more sophisticated model of the quantity of groundwater flow, as well as the quality, in terms of salt content and extent of intrusion. This will allow the City to estimate the location of the saltwater/freshwater interface and the rate at which it can be expected to move inland toward City wells if pumping were to continue in response to extended drought.

Since we never know when a drought will end, such information will be important in managing our supplies and planning for the contingency of one or more additional years of drought. Similar analyses will be conducted for the City's other groundwater basins, focusing on public and private pumping demands and the effect on overall groundwater levels and sustainable yield.

One of the products of this analysis will be a series of graphs that can be used to assess the amount of available groundwater production, based on field measurements that reflect the current level of groundwater in the basins. The reporting phase will include archiving of all input data sets, and data output and preparation of a peer-reviewed article documenting the work effort.

Staff anticipates using the expertise of USGS personnel and early modeling results in developing recommendations on the groundwater component of the LTWSP update. Upon completion of the three-year study, the developed tools will contribute to the "adaptive management" of the City's water supply, in a manner similar to that proposed to monitor other City resources being assessed in the *Plan Santa Barbara* process. The proposed three-year study was presented to the City Water Commission at its meeting of October 12, 2009, at which time there was a consensus of strong support for utilizing the expertise of USGS to update the City's groundwater analysis tools.

BUDGET/FINANCIAL INFORMATION:

The total cost of the three-year program is estimated at $546,055. USGS proposes to contribute $169,130, with a City share of $376,925. The work would be approved by each party in three annual contracts. The payment obligations are subject to available appropriations, and either party can withdraw if appropriations are not available. Staff anticipates a first-year contract amount of approximately $191,530, with a City share of $133,500. Funds are available in the 2010 Water Fund Operating Budget for the entire three-year City share.

PREPARED BY: Rebecca Bjork, Water Resources Manager/BF/mh

SUBMITTED BY: Christine F. Andersen, Public Works Director

APPROVED BY: City Administrator's Office

Agenda Item No._____

File Code No. 330.05

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: Operations Division, Fire Department

SUBJECT: Donation Of Firefighting Equipment To The Fire Department By The Santa Barbara Firefighters Alliance

RECOMMENDATION:

That Council accept the donation of rescue and safety equipment from the Santa Barbara Firefighters Alliance to the City of Santa Barbara Fire Department, valued at approximately $30,000.

DISCUSSION:

The Santa Barbara Firefighters Alliance is a local non-profit organization that raises money for City and County firefighters to maximize their welfare, safety and efficiency. The Firefighters Alliance enables firefighters to provide higher levels of service to their communities. Past donations to our local fire and rescue services from the Alliance have included such items as: thermal imaging camera, satellite phones, personal protective gear and many other items valued at over $500,000.

The donated equipment includes ropes, carabiners and an air supply system that will provide the City of Santa Barbara Fire Department with equipment for Urban Search and Rescue operations. This equipment will be used by the Fire Department to provide regional training in advanced rescue techniques. Other equipment being donated includes a GPS enabled camera, useful for real time documentation, and wildland firefighting goggles to allow firefighters to work safely and effectively in high wind dust and ash conditions.

PREPARED BY: Patrick McElroy, Battalion Chief

SUBMITTED BY: Andrew DiMizio, Fire Chief

APPROVED BY: City Administrator's Office

CITY OF SANTA BARBARA

REDEVELOPMENT AGENCY MINUTES

Special Meeting
October 27, 2009
Council Chamber, 735 Anacapa Street

CALL TO ORDER

Chair Marty Blum called the joint meeting of the Agency and the City Council to order at 2:00 p.m.

ROLL CALL

Agency members present: Iya G. Falcone (2:01 p.m.), Dale Francisco, Roger L. Horton, Grant House, Helene Schneider, Das Williams (2:02 p.m.), Chair Blum.
Agency members absent: None.
Staff present: Executive Director/Secretary James L. Armstrong, Agency Counsel Stephen P. Wiley, Deputy Director Paul Casey, Housing and Redevelopment Manager Brian Bosse, Deputy City Clerk Brenda Alcazar.

PUBLIC COMMENT

No one wished to speak.

REDEVELOPMENT AGENCY REPORTS

1. Subject: Amended Redevelopment Agency Fiscal Year 2010 Capital Program (10)

   Recommendation: That the Redevelopment Agency Board:
   A. Consider funding allocations to the Redevelopment Agency Capital Program totaling $1,519,000 and approve the project recommendations for the amended Fiscal Year 2010 Capital Program;
   B. Reprogram $1,403,758 previously set aside in the Agency's Fiscal Year 2009 ERAF Fund and allocate $1,403,758 as part of the $1,519,000 outlined in the amended Capital Program for Fiscal Year 2010; and
   C. Increase appropriations by $115,242 in the Agency's General Fund from unappropriated reserves and allocate these funds as part of the $1,519,000 outlined in the Amended Capital Program for Fiscal Year 2010.

(Cont'd)

1. (Cont'd)

Documents:
- October 27, 2009, report from the Deputy Director.
- October 27, 2009, PowerPoint presentation prepared and made by Staff.

Speakers:
- Staff: Housing and Redevelopment Manager Brian Bosse, Executive Director James Armstrong, Waterfront Director John Bridley.
- Members of the Public: Bob Kieding; Steve Hyslop, Harbor Merchants Association; Terry Tyler.

Motion:
Agency Members Williams/Horton to approve the project slate listed in Option A of the Redevelopment Agency Agenda Report and to direct staff to bring back the waterfront lighting project as part of the Capital Program next year.

Vote:
Unanimous voice vote.

ADJOURNMENT

Chair Blum adjourned the meeting at 6:04 p.m.

SANTA BARBARA
REDEVELOPMENT AGENCY

MARTY BLUM
CHAIR

SANTA BARBARA
CITY CLERK'S OFFICE

BRENDA ALCAZAR, CMC
DEPUTY CITY CLERK

Agenda Item No._____

CITY OF SANTA BARBARA

REDEVELOPMENT AGENCY BOARD AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Redevelopment Agency Board

FROM: Accounting Division, Finance Department

SUBJECT: Redevelopment Agency Fiscal Year 2010 Interim Financial Statements For The Four Months Ended October 31, 2009

RECOMMENDATION:

That the Redevelopment Agency Board accept the Redevelopment Agency Fiscal Year 2010 Interim Financial Statements for the Four Months Ended October 31, 2009.

DISCUSSION:

The interim financial statements for the four months ended October 31, 2009 (33.3% 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 Four Months Ended October 31, 2009

PREPARED BY: Rudolf J. Livingston, Accounting Manager

SUBMITTED BY: Robert Samario, Interim Fiscal Officer

APPROVED BY: City Administrator's Office

Attachment

REDEVELOPMENT AGENCY
OF THE
CITY OF SANTA BARBARA

INTERIM FINANCIAL STATEMENTS
FISCAL YEAR 2010
FOR THE FOUR MONTHS
ENDED OCTOBER 31, 2009

REDEVELOPMENT AGENCY OF THE CITY OF SANTA BARBARA
General Fund
Interim Statement of Revenues, Expenditures and Encumbrances
For the Four Months Ended October 31, 2009 (33% of Fiscal Year)

	Annual Budget	Year-to-date Actual	Encum-brances	Remaining Balance	Percent of Budget
Revenues:					
Incremental Property Taxes	$ 16,337,400	$ 2,452,358	$ -	$ 13,885,042	15.01%
Investment Income	264,700	66,083	-	198,617	24.97%
Interest Loans	5,000	-	-	5,000	0.00%
Rents	48,000	24,066	-	23,934	50.14%
Total Revenues	16,655,100	2,542,507	-	14,112,593	15.27%
Use of Fund Balance	4,197,643	1,399,212	-	-	33.33%
Total Sources	$ 20,852,743	$ 3,941,719	$ -	$ 14,112,593	18.90%
Expenditures:					
Material, Supplies & Services:					
Office Supplies & Expense	$ 3,000	$ 384	$ -	$ 2,616	12.80%
Mapping, Drafting & Presentation	250	-	-	250	0.00%
Janitorial & Hshld Supplies	100	-	-	100	0.00%
Minor Tools	100	-	-	100	0.00%
Special Supplies & Expenses	5,000	54	-	4,946	1.08%
Building Materials	100	-	-	100	0.00%
Equipment Repair	1,000	568	-	432	56.80%
Professional Services - Contract	787,155	218,385	4,142	564,628	28.27%
Legal Services	154,508	49,157	-	105,351	31.82%
Engineering Services	20,000	2,088	-	17,912	10.44%
Non-Contractual Services	12,000	1,020	-	10,980	8.50%
Meeting & Travel	7,500	45	-	7,455	0.60%
Mileage Reimbursement	300	-	-	300	0.00%
Dues, Memberships, & Licenses	13,500	2,600	-	10,900	19.26%
Publications	1,500	289	-	1,211	19.27%
Training	7,500	415	-	7,085	5.53%
Advertising	2,000	-	-	2,000	0.00%
Printing and Binding	3,000	-	-	3,000	0.00%
Postage/Delivery	1,000	454	-	546	45.40%
Non-Allocated Telephone	500	-	-	500	0.00%
Vehicle Fuel	1,300	358	-	942	27.54%
Equipment Rental	500	-	-	500	0.00%
Total Supplies & Services	1,021,813	275,817	4,142	741,854	27.40%
Allocated Costs:					
Desktop Maint Replacement	25,207	8,402	-	16,805	33.33%
GIS Allocations	4,785	1,595	-	3,190	33.33%
Building Maintenance	1,785	595	-	1,190	33.33%
Planned Maintenance Program	6,752	2,251	-	4,501	33.33%
Vehicle Replacement	5,323	1,774	-	3,549	33.33%
Vehicle Maintenance	4,396	1,465	-	2,931	33.33%
Telephone	2,908	969	-	1,939	33.33%
Custodial	3,674	1,225	-	2,449	33.33%
Communications	4,663	1,554	-	3,109	33.33%
Property Insurance	8,142	2,714	-	5,428	33.33%
Allocated Facilities Rent	5,746	1,915	-	3,831	33.33%
Overhead Allocation	693,628	231,209	-	462,419	33.33%
Total Allocated Costs	767,009	255,670	-	511,339	33.33%
Special Projects	7,636,577	181,304	51,024	7,404,249	3.04%
Transfers	9,759,023	3,098,742	-	6,660,281	31.75%
Grants	1,545,028	270,816	249,164	1,025,048	33.66%
Equipment	8,070	51	-	8,019	0.63%
Fiscal Agent Charges	11,500	2,988	-	8,512	25.98%
Appropriated Reserve	103,723	-	-	103,723	0.00%
Total Expenditures	$ 20,852,743	$ 4,085,388	$ 304,330	$ 16,463,025	21.05%

REDEVELOPMENT AGENCY OF THE CITY OF SANTA BARBARA
Housing Fund
Interim Statement of Revenues, Expenditures and Encumbrances
For the Four Months Ended October 31, 2009 (33% of Fiscal Year)

	Annual Budget	Year-to-date Actual	Encum-brances	Remaining Balance	Percent of Budget
Revenues:					
Incremental Property Taxes	$ 4,084,400	$ 613,089	$ -	$ 3,471,311	15.01%
Investment Income	150,000	28,890	-	121,110	19.26%
Interest Loans	160,000	94,565	-	65,435	59.10%
Miscellaneous	-	2,914	-	(2,914)	100.00%
Total Revenues	4,394,400	739,458	-	3,654,942	16.83%
Use of Fund Balance	2,603,567	867,860	-	-	33.33%
Total Sources	$ 6,997,967	$ 1,607,318	$ -	$ 3,654,942	22.97%
Expenditures:					
Material, Supplies & Services:					
Office Supplies & Expense	$ 1,800	$ 396	$ -	$ 1,404	22.00%
Special Supplies & Expenses	1,800	648	-	1,152	36.00%
Equipment Repair	500	458	-	42	91.60%
Professional Services - Contract	717,423	231,265	-	486,158	32.24%
Legal Services	2,000	-	-	2,000	0.00%
Non-Contractual Services	2,000	358	-	1,642	17.90%
Meeting & Travel	6,000	-	-	6,000	0.00%
Mileage Reimbursement	100	-	-	100	0.00%
Dues, Memberships, & Licenses	2,025	-	-	2,025	0.00%
Publications	200	-	-	200	0.00%
Training	5,000	-	-	5,000	0.00%
Postage/Delivery	500	26	-	474	5.20%
Non-Allocated Telephone	500	-	-	500	0.00%
Equipment Rental	100	-	-	100	0.00%
Total Supplies & Services	739,948	233,151	-	506,797	31.51%
Allocated Costs:					
Desktop Maintance Replacement	7,562	2,521	-	5,041	33.33%
GIS Allocations	2,393	798	-	1,595	33.33%
Building Maintance	893	298	-	595	33.33%
Planned Maintenance Program	4,001	1,334	-	2,667	33.33%
Telephone	969	323	-	646	33.33%
Custodial	1,867	622	-	1,245	33.33%
Communications	2,897	966	-	1,931	33.33%
Insurance	166	55	-	111	33.33%
Allocated Facilities Rent	3,405	1,135	-	2,270	33.33%
Overhead Allocation	181,432	60,477	-	120,955	33.33%
Total Allocated Costs	205,585	68,528	-	137,057	33.33%
Transfers	829	207	-	622	24.97%
Equipment	2,500	51	-	2,449	2.04%
Housing Activity	5,328,855	165,729	-	5,163,126	3.11%
Principal	470,000	470,000	-	-	100.00%
Interest	168,950	93,361	-	75,589	55.26%
Fiscal Agent Charges	1,300	1,265	-	35	97.31%
Appropriated Reserve	80,000	-	-	80,000	0.00%
Total Expenditures	$ 6,997,967	$ 1,032,292	$ -	$ 5,965,675	14.75%

REDEVELOPMENT AGENCY OF THE CITY OF SANTA BARBARA
Capital Projects Fund
Interim Statement of Revenues, Expenditures and Encumbrances
For the Four Months Ended October 31, 2009 (33% of Fiscal Year)

	Annual Budget	Year-to-date Actual	Encum-brances	Remaining Balance	Percent of Budget
Revenues:					
SB Trust for Historic Preservation	$ -	$ 522,180	$ -	$ -	100.00%
Fire Station #1 EOC Donations	6,000	6,000	-	-	100.00%
Transfers-In	2,243,621	1,747,988	-	495,633	77.91%
Total Revenues	2,249,621	2,276,168	-	-	101.18%
Use of Fund Balance	12,208,909	4,069,638	-	-	33.33%
Total Sources	$ 14,458,530	$ 6,345,806	$ -	$ -	43.89%
Expenditures:					
Construction Phase					
IPM - Sustainable Park Improvements	$ 9,511	$ 116	$ 9,511	$ (116)	101.22%
Fire Station #1 Remodel	377,482	262,887	156,194	(41,599)	111.02%
Fire Station #1 EOC	202,064	57,583	104,672	39,809	80.30%
Underground Tank Abatement	23,070	-	-	23,070	0.00%
Design Phase					
Carrillo Rec Center Restoration	2,200,000	-	-	2,200,000	0.00%
Planning Phase					
Opportunity Acquisition Fund	366,500	-	-	366,500	0.00%
RDA Project Contingency Account	1,162,344	-	-	1,162,344	0.00%
Parking Lot Maintenance	192,621	12,205	146,357	34,059	82.32%
PD Locker Room Upgrade	7,525,483	63,124	-	7,462,359	0.84%
Phase II - E Carbillo Sidewalks	600,000	-	-	600,000	0.00%
Chase Palm Park Light/Electric	569,000	-	-	569,000	0.00%
Plaza Del Mar Restroom Renovation	212,000	-	-	212,000	0.00%
Pershing Park Restroom Renovation	120,000	-	-	120,000	0.00%
Soil Remediation - 125 State St	550,000	-	430,000	120,000	78.18%
Housing Fund Contingency Account	348,455	-	-	348,455	0.00%
Total Expenditures	$ 14,458,530	$ 395,915	$ 846,734	$ 13,215,881	8.59%

REDEVELOPMENT AGENCY OF THE CITY OF SANTA BARBARA
RDA Bonds - Series 2001A
Interim Statement of Revenues, Expenditures and Encumbrances
For the Four Months Ended October 31, 2009 (33% of Fiscal Year)

	Annual Budget	Year-to-date Actual	Encum-brances	Remaining Balance	Percent of Budget
Revenues:					
Investment Income	$ -	$ 662	$ -	$ (662)	100.00%
Transfers-In	-	824,986	-	(824,986)	100.00%
Total Revenues	-	825,648	-	(825,648)	100.00%
Use of Fund Balance	3,219,138	1,073,046	-	-	33.33%
Total Sources	$ 3,219,138	$ 1,898,694	$ -	$ (825,648)	58.98%
Expenditures:					
Interest	$ -	$ 824,986	$ -	(824,986)	100.00%
Total Non-Capital Expenditures	-	824,986	-	(824,986)	100.00%
Capital Outlay:					
Finished					
East Cabrillo Blvd Sidewalks	$ 54,437	$ 23,200	$ -	$ 31,237	42.62%
Design Phase					
Mission Creek Flood Control @ Depot	1,964,701	-	-	1,964,701	0.00%
Brinkerhoff Lighting	200,000	-	-	200,000	0.00%
Carrillo Rec Center Restoration	1,000,000	-	-	1,000,000	0.00%
Total Expenditures	$ 3,219,138	$ 848,186	$ -	$ 2,370,952	26.35%

REDEVELOPMENT AGENCY OF THE CITY OF SANTA BARBARA
RDA Bonds - Series 2003A
Interim Statement of Revenues, Expenditures and Encumbrances
For the Four Months Ended October 31, 2009 (33% of Fiscal Year)

		Annual Budget	Year-to-date Actual	Encum-brances	Remaining Balance	Percent of Budget
Revenues:						
	Investment Income	$ -	$ 4,111	$ -	$ (4,111)	100.00%
	Transfers-In	-	525,215	-	(525,215)	100.00%
	Intergovernmental	-	73,519	-	(73,519)	100.00%
	Total Revenues	-	602,845	-	(602,845)	100.00%
	Use of Fund Balance	20,272,862	6,757,623	-	-	33.33%
	Total Sources	$ 20,272,862	$ 7,360,468	$ -	$ (602,845)	36.31%
Expenditures:						
	Interest	$ -	$ 525,215	$ -	$ (525,215)	100.00%
	Arbitrage Rebate	440,000	-	-	440,000	0.00%
	Total Non-Capital Expenditures	440,000	525,215	-	(85,215)	119.37%
	Capital Outlay:					
	Finished					
9082	Adams Parking Lot & Site Imprvmts	$ 77,419	$ 3,409	$ 1,533	$ 72,477	6.38%
8966	Anapamu Open Space Enhancements	2,464	-	-	2,464	0.00%
9055	Historic Railroad CAR	24,646	8,574	15,258	814	96.70%
	Construction Phase					
3179	IPM - Sustainable Park Improvements	94,909	5	-	94,904	0.01%
7999	Fire Station #1 Remodel	40,015	54,671	6,053	(20,709)	151.75%
8958	West Beach Pedestrian Improvements	2,565,901	416,178	1,737,333	412,390	83.93%
9007	Artist Workspace	612,042	48,662	17,328	546,052	10.78%
9071	West Downtown Improvement	3,143,824	46,755	2,621,656	475,413	84.88%
9091	Carrillo Rec Ctr Restoration	2,897,579	128,419	466,794	2,302,366	20.54%
	Design Phase					
8961	Plaza De La Guerra Infrastructure	2,282,158	-	38,290	2,243,868	1.68%
9068	Westside Community Center	216,066	11,317	4,543	200,206	7.34%
	Planning Phase					
7911	Mission Creek Flood Control - Park Development	759,142	3,058	-	756,084	0.40%
7662	Mission Creek Flood Control @ Depot	535,299	-	-	535,299	0.00%
7665	Helena Parking Lot Development	499,798	4,804	-	494,994	0.96%
8984	Fire Department Administration	3,750,000	-	-	3,750,000	0.00%
8986	Chase Palm Park Restroom Renovation	186,600	-	-	186,600	0.00%
8987	Downtown Sidewalks	175,000	-	-	175,000	0.00%
8988	DP Structure #2, 9, 10 Improvements	150,000	-	-	150,000	0.00%
8989	Library Plaza Renovation	150,000	-	-	150,000	0.00%
71101	Chase Palm Park Wisteria Arbor	835,000	-	1,545	833,455	0.19%
	On-Hold Status					
8962	Visitor Center Condo Purchase	500,000	-	-	500,000	0.00%
8964	Lower State Street Sidewalks	335,000	-	-	335,000	0.00%
	Total Expenditures	$ 20,272,862	$ 1,251,067	$ 4,910,333	$ 14,111,462	30.39%

Agenda Item No._____

File Code No. 640.02

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: Planning Division, Community Development Department

SUBJECT: Two-Year Review Of Neighborhood Preservation Ordinance

RECOMMENDATION:

That Council:

A. Review and comment on the attached report, Two-Year Review of Neighborhood Preservation Ordinance/Single Family Design Guidelines Update (NPO Update);
B. Initiate recommended changes with Staff to work with a subcommittee of the Single Family Design Board and the Ordinance Committee; and
C. Direct Staff to return to Council with ordinance and guideline amendments for adoption.

EXECUTIVE SUMMARY:

Planning Staff was directed to report back to Council on the effectiveness of the NPO Update which was adopted in May 2007. In general, Staff concludes that the NPO Update regulations are functioning as intended. Staff does not recommend major changes in the five topic areas that Council had expressed interest in receiving a report on. However, Staff does recommend that specific guidelines and ordinance sections be further clarified and suggests process improvements for better efficiency of reviews as outlined in the attached report.

Staff completed discussions with the Single Family Design Board (SFDB), several community organizations and neighborhood groups in order to prepare the attached report. The report summarizes comments, concerns and ideas relative to the effectiveness of the current NPO and Single Family Residential Design Guidelines (SFRDG). A public workshop was also held to provide additional feedback on Staff recommendations. Staff has incorporated some of the input into the current recommendations with the understanding that there is little interest in expending more Staff time in re-opening controversial issues or topics that were debated in lengthy subcommittee discussions from 2004 to 2007. Staff recommends some guideline improvements by briefly working with a subcommittee of SDFB members to address review areas that can be further clarified. If Council agrees, Staff expects to develop

some of these guidelines and ordinance amendments and return to the Ordinance Committee early next year.

DISCUSSION:

I. Council Directed Review Topics

When the NPO Update Package was adopted in May 2007, Council directed Staff to track the following five topics and report back to Council on the topics and overall NPO Update performance after two years. Research results for each of the following five Council-directed research topics are in Part 1 of Attachment 1 and are listed below.

1. 20 closest homes database effectiveness and reliability.
2. The appropriateness of floor to lot area ratios (FARs) as guidelines (current practice) versus standards for single-family homes in multi-family zones.
3. Should roofed porches and covered decks be included in net floor area for FAR calculations? (They are not included now.)
4. Carports and their inclusion in FAR calculations (current practice).
5. Private View Issues.

Staff concluded for each item that changes to the implementation of the NPO and SFRDG related to these topics are not needed.

In general, the NPO Update regulations are functioning as intended. The FAR limits, guidelines and application requirements appear to generally be resulting in an appropriate range of development options, proposals and approvals. Applications for homes approved by the SFDB in the past two years were studied and revealed that homes are now being designed to meet the new FAR limits for applications proposed on lots 15,000 square feet or less. In addition, the statistical analysis indicates the SFDB does provide some guideline flexibility to allow larger homes on lots in excess of 15,000 square feet (see Attachment 2).

The level of controversy and debate surrounding larger homes has been significantly reduced from past years. There has been a decrease in the number of appeals of single family homes to the City Council since the NPO Update was adopted (see Part 4 of Attachment 1). The SFDB is functioning well. Also, it was helpful to have the SFDB in place to handle the numerous expedited project rebuilds posed by the Tea and Jesusita Fires.

II. Additional Topics & Recommended Changes

In addition to the topics which Council specifically asked to consider and report on, Staff gained ideas for changes through meetings and interviews. In the summer of 2009, Staff met with a number of neighborhood organizations including the Allied Neighborhood Association, local chapter of the American Institute of Architects, Citizens Planning Association, City-Wide Homeowners Association, La Mesa Neighborhood Association, League of Women Voters, and the Santa Barbara Association of Realtors. Additionally, Staff reviewed a report which summarizes interviews conducted in 2009 of SFDB members and former NPO Steering Committee Members asking their opinions regarding the NPO Update and any needed changes. The report was prepared by

Jason Smart, former city staff-member and recent graduate of the University of British Columbia School of Community and Regional Planning Master's Degree program.

As a result of these meetings and interviews, a number of proposals for change have been considered by Staff. Those which are considered appropriate for implementing, given budget constraints and goals for a simple, clear, efficient and fair process, are listed briefly below and described in more detail in Part 2 of the attached report. Items which are not recommended to change are listed in Part 3 of the report with a brief explanation as to why the change is not advisable.

Staff Recommended Changes

Noticing

Change 1: Eliminate noticing for additions of less than 150 square feet to existing second stories.
Change 2: Reduce hand-delivered noticing to the closest 10 lots, rather than the closest 20 lots.
Change 2A: Eliminate the administrative practice of ensuring the 20 closest homes are noticed and simply maintain the standard 300 foot mailed noticing radius.

Design Review Triggers

Change 3: Clarify the trigger for design review for roof alterations in the Hillside Design District to specify "new roof area" or "alterations to existing roofs that increase height or volume" for projects where the proposed work will be over 17' tall or two or more stories.
Change 4: Change the trigger for Design Review for walls, fences or gates in front yards from six feet and greater in height to greater than 3.5 feet in height.

Staff Administrative Approvals

Change 5: Give Staff the authority to approve retaining walls as well as freestanding walls that meet the existing criteria for staff administrative approvals.
Change 5A: Give Staff the authority to approve black chain link fencing outside of front yards.

Single Family Residential Design Guidelines

Change 6: Create new guidelines and provide more detail on selected topics in the Single Family Residential Design Guidelines and SFDB Guidelines.

Uncovered Parking Allowances

Change 7: Disallow uncovered parking encroachments on large lots for single-family residential projects that propose an uncovered parking space and require that the uncovered parking space be screened.

Optional Change 7A: This option would allow case by case waivers which could be granted by the SFDB for two uncovered parking spaces for homes under 80% of the maximum FAR outside any front yards. Design Review would be required for the uncovered parking spaces.

Green Building Standard for Large Residences

Change 8: Update the Ordinance to clarify that green building programs equivalent to the Santa Barbara Contractor Association's Built Green program are acceptable for homes over 4,000 square feet.
Change 8A: Exempt additions of less than 500 square feet from the green building requirement.
Change 8B: Clarify that both Historic Landmarks Commission and SFDB single family home projects resulting in over 4,000 square feet are subject to the Built Green requirement.

Budget Reduction Adjustments

Change 9: Study reducing the number and type of Design Review projects and increasing Staff administrative approvals.
Change 9A: Implement two specific proposals to reduce single family residential design review functions.

III. Review Process

Single Family Design Board Review

In order to evaluate single family residential projects, the SFDB and Staff visited nine completed or under construction projects on September 14, 2009. The projects had obtained approvals after the 2007 NPO Update. Photographs of the projects visited are in Part 5 of Attachment 1.

Various drafts of the attached report were commented on by the SFDB at their October 12 and November 9 hearings, and three SFDB members attended the October 24, 2009, public workshop. The SFDB concurs with Staff's recommended changes, with the following exceptions:

- Optional Change 7A, regarding the potential for the SFDB to allow two uncovered spaces on a case by case basis, the SFDB members had a split vote in favor and opposed to the change.
- Change 9.1 regarding allowing Staff review of any project which are not publicly visible, the SFDB felt needed further clarification. The SFDB was concerned that landscaping should not be considered in determining whether or not a project is publicly visible.

The SFDB especially hopes the Council directs Staff to work with a subcommittee of the SFDB to make changes to the Single Family Residential Design Guidelines listed in Change 6. The SFDB declined to make a motion regarding Parts 1 or 3 of the report, but felt that it was important for City Council to receive the entire report. In addition, the SFDB expressed their preference for one-story homes greater than 4,000 square feet to continue to have architectural as well as landscaping review.

Public Workshop

Notes, survey results and a public comment letter from an October 24, 2009, public workshop which was widely noticed are provided in Attachment 3. All applicants and interested parties for projects the SFDB reviewed in the last two years were sent a mailed notice regarding the workshop. Optional Change 7A, regarding uncovered parking spaces, had split votes for and against the option in a written survey conducted at the workshop, similar to the SFDB vote results for the item.

BUDGET/FINANCIAL INFORMATION:

In general, staffing resources are increasingly limited due to new City budgetary constraints. As a result, only the most important changes are recommended for implementation.

Some reductions in the quantity of projects which are reviewed by the SFDB and methods to allow more Staff approvals are included in the recommended changes (items 6 and 9). This will help to address some upcoming budgetary constraints. However, further reductions in the scope of projects reviewed by the SFDB may be required to achieve future larger budget reduction goals.

SUSTAINABILITY IMPACT:

Change 8 supports sustainability in Santa Barbara. Change 8 proposes key refinements to green building program requirements for additions for homes over 4,000 square feet.. By continuing to require homes over 4,000 square feet to participate in a green building program, site, water, energy, materials use reduction, and indoor air quality improvements are achieved.

NOTE: A copy of the existing versions of the Single Family Residential Design Guidelines and SFDB Guidelines have been provided to the Mayor and Council and are available for public viewing at the City Clerk's office as well as online at www.santabarbaraca.gov/Resident/Home/Guidelines/.

ATTACHMENTS:
1. Report to Mayor & Council Two-Year Review of Neighborhood Preservation Ordinance / Single Family Design Guidelines Update (NPO Update)
2. Project Statistics
3. October 24, 2009, Public Workshop: Notes, Survey Results & Comment Letter

PREPARED BY: Heather Baker, AICP, Project Planner

SUBMITTED BY: Paul Casey, Community Development Director

APPROVED BY: City Administrator's Office

ATTACHMENT 1

Report to Mayor & Council

Two-Year Review

of

Neighborhood Preservation Ordinance / Single Family Design Guidelines Update (NPO Update)

December 15, 2009

Report Parts

Part 1. City Council Directed Review Topics

Part 2. Recommended Changes to the Ordinance, Single Family Residential Design Guidelines and Single Family Design Board Guidelines

Part 3. Other Changes Not Recommended for Implementation

Part 4. List of Projects Appealed to City Council & Yearly Appeal Statistics

Part 5. 9/14/09 SFDB Site Visit: Photos, Project Description including Statistics and Case Status

PART 1

City Council Directed Review Topics

When the Neighborhood Preservation Ordinance (NPO) Update was adopted, the City Council directed Staff to track the following list of five topics and report back to the City Council on the performance after two years. Discussion for each topic follows.

1. 20 closest homes database effectiveness and reliability.
2. The appropriateness of FARs as guidelines (current practice) versus standards for single-family homes in multi-family zones.
3. Should roofed porches and covered decks be included in net floor area for FAR calculations? (They are not included now.)
4. Carports and their inclusion in FAR calculations (current practice).
5. Private View Issues.

1. 20 closest homes database effectiveness and reliability.

When the Update was adopted, the 20 closest homes analysis was a new concept. There were questions and concerns about the accuracy of the available information and the usefulness of the data for project analysis.

Staff Response: The data are accurate enough to give a general sense of how the proposed project compares to other homes in the neighborhood. The SFDB has found the data to be helpful to determine neighborhood compatibility. If an applicant would like to provide more accurate, up to date data than the County Assessor's Office provides, they have the option of providing data from City records. Data sources are required to be listed for all data submitted. A database of the 20 closest homes data submitted to date has been compiled into an Excel spreadsheet and is now available free on-line. A few comments from SFDB members help to illustrate the usefulness of the 20 closest homes data:

- The data help to raise red flags. For example, if a home will be the second biggest in the area, which can be useful for the SFDB to know...
- The data are beneficial when a project is close to 100% of the maximum Floor to Lot Area Ratio (FAR). It makes a difference with the first large home in an area. If a home is the third largest or smaller, the 20 closest homes data doesn't matter. It's important for home size to transition gradually…

Example for Reference: See 20 closest lots data submitted for 214 Selrose Lane included at the end of this part of the report on pages 7-9.

2. The appropriateness of FARs as guidelines (current practice) versus standards for single-family homes in multi-family zones.

When the Update was adopted, there was a debate as to whether it was appropriate or beneficial to apply FARs as standards in multi-family zones. In the end, a majority of the City Council concluded that FARs should apply as a standard in single-family zones and only as a guideline in multi-family zones. However, the City Council wanted Staff to report back to the Council on how this division of guidelines and standards has performed.

Staff Response: Staff is not aware of any cases in multi-family zones where the SFDB, staff or the public have commented that it would have been more helpful if the FARs were standards rather than guidelines. Therefore, it is recommended that the FARs remain guidelines in multi-family zones.

3. Should roofed porches and covered decks be included in net floor area for FAR calculations? (They are not included now.)

The League of Women Voters (LWV) and two SFDB members would like roofed porches, decks and loggias included in FAR calculations. The local chapter of the American Institute of Architects (AIA) and Santa Barbara Association of Realtors (SBAOR) continue to advocate that no change take place regarding this calculation. One member of the SFDB suggested that the covered features should be counted at a 50% rate. Some have also expressed concern regarding potential piece-mealing of projects, whereby approved covered project features are later fully enclosed.

Staff Response: This issue was discussed in Issue Paper D, page 3, and extensively by the Steering Committee for the NPO Update. Covered decks and loggias are partly open; therefore, the visual impact is not the same as completely enclosed square footage. Including such items in the net floor area may discourage their use, which could lead to less diversity in architecture. Also, net floor area as defined in the Zoning Ordinance and used for two-car garage triggers and Measure E do not count these items, so if they were counted for FAR, it would further complicate the City's review process to have varying standards.

Appropriate use of roofed porches, covered decks and loggias is reviewed case by case by the SFDB. The Single Family Residence Design Guidelines (SFRDG) addresses appropriate use of covered porches, decks and loggias. The Good Neighbor Guidelines extensively address potential privacy issues upper story covered decks and porches can pose in Guideline 35.

Piecemeal prevention language is already included in the NPO. SBMC§22.69.020.J Code states that if Design Review was required in the past two years (from Certificate of Occupancy), or if the cumulative scope of work from permits in the past two years would

trigger design review, then design review is required. SFDB members are aware of this issue (example, 122 Santa Rosa Place proposal, MST2008-00407). The SFDB usually has the opportunity to analyze these projects twice. First they review projects with covered, unenclosed areas in the context of required NPO findings and SFRDG with the realization that these areas contribute to mass and bulk. Second, when the SFDB reviews a proposal to enclose these areas, they consider the appropriateness of the additional FAR square footage and the loss of the unenclosed architectural features.

The Allied Neighborhood Association (ANA) advocates an option whereby covered porches, verandas, and loggias be counted as net square footage at a 50% or 75% rate. Options similar to this were discussed at length by the Steering Committee for the NPO Update. The conclusion that this approach would overly-complicate the review process is still valid today. The present treatment of cellars and basements for FAR purposes is an example of the complications that can result from such a proposal.

Staff continues to believe that counting roofed porches or covered decks as floor area would unnecessarily complicate the Design Review process and overly discourage these architectural elements which can be sufficiently regulated with guidelines implemented by the SFDB.

4. Carports and their inclusion in FAR calculations (current practice).

As the ordinance is currently written, carports and garages count as floor area in the same manner. The SBAOR would like to give incentive to carports over garages by excluding them from FARs. According to the SBAOR, unlike garages that are often illegally converted to living space or storage space, carports are a one-use structure that will actually be used for parking.

Staff Response: This topic was carefully considered in the NPO Update process. Illegal garage conversions are enforced upon when complaints are received or when applicants seek new building permits. Carports are not favored design-wise over garages by the design review hearing bodies. If carports were exempted from FARs, it is expected that carports would be proposed more often. This conflict of design philosophy could complicate the design review process. Opportunities for uncovered parking located behind homes where it is not visible, are provided for in the current ordinance.

No change is needed because the current practice of including garages and carports in FARs supports neighborhood design goals while maintaining a simpler review process, and alternative parking opportunities are already provided for in the ordinance.

5. Private View Issues.

Some would like private views to be considered by the SFDB in approval decisions (Riviera Association, ANA, LWV, SFDB member). Others would prefer that the SFDB

not even allow public comments regarding private views and that the SFDB should refrain from asking questions regarding alternatives applicants might have considered to help preserve neighbors' views (SBAOR, AIA).

Staff Response: The issue of how to consider private views was considered in detail in Issue Paper G in the NPO Update. The topic was discussed at length by the NPO Update Steering Committee, the Ordinance Committee, and Council before adoption of the NPO Update.

The Steering Committee discussed at length whether Neighborhood Preservation Ordinance findings should require consideration of private views and concluded that it is better not to address private views in required findings. Rather, the Steering Committee and Staff recommended providing optional information to the public in the Single-Family Design Guidelines (SFDG) regarding neighbors' private views. Before the Update, the Guidelines included less than half a page of text addressing voluntary protection of private views, with no illustrations. The updated SFDG include more tips for addressing private views and two new pages of illustrations regarding private views as well as five pages of tips for "managing conflict with comfort" to encourage communication among neighbors. The update package also included provisions in the SFDB Guidelines to allow public comment and discussion of private views as part of Design Review public hearings.

The City has traditionally held that private views are a private matter for individual property owners to handle between themselves. However, some members of the community have requested that the City protect private views with regulations. Whether to protect private views was discussed in the late '70s and early '80s as part of the development of the Conservation Element Policy, Local Coastal Plan and Master Environmental Assessment procedures. The conclusion of each discussion was to maintain a policy of addressing public views only. In 1999, City Council considered protecting private views in private structural development projects, but rejected the proposal. Instead, the City Council adopted a private view vegetation mediation process.

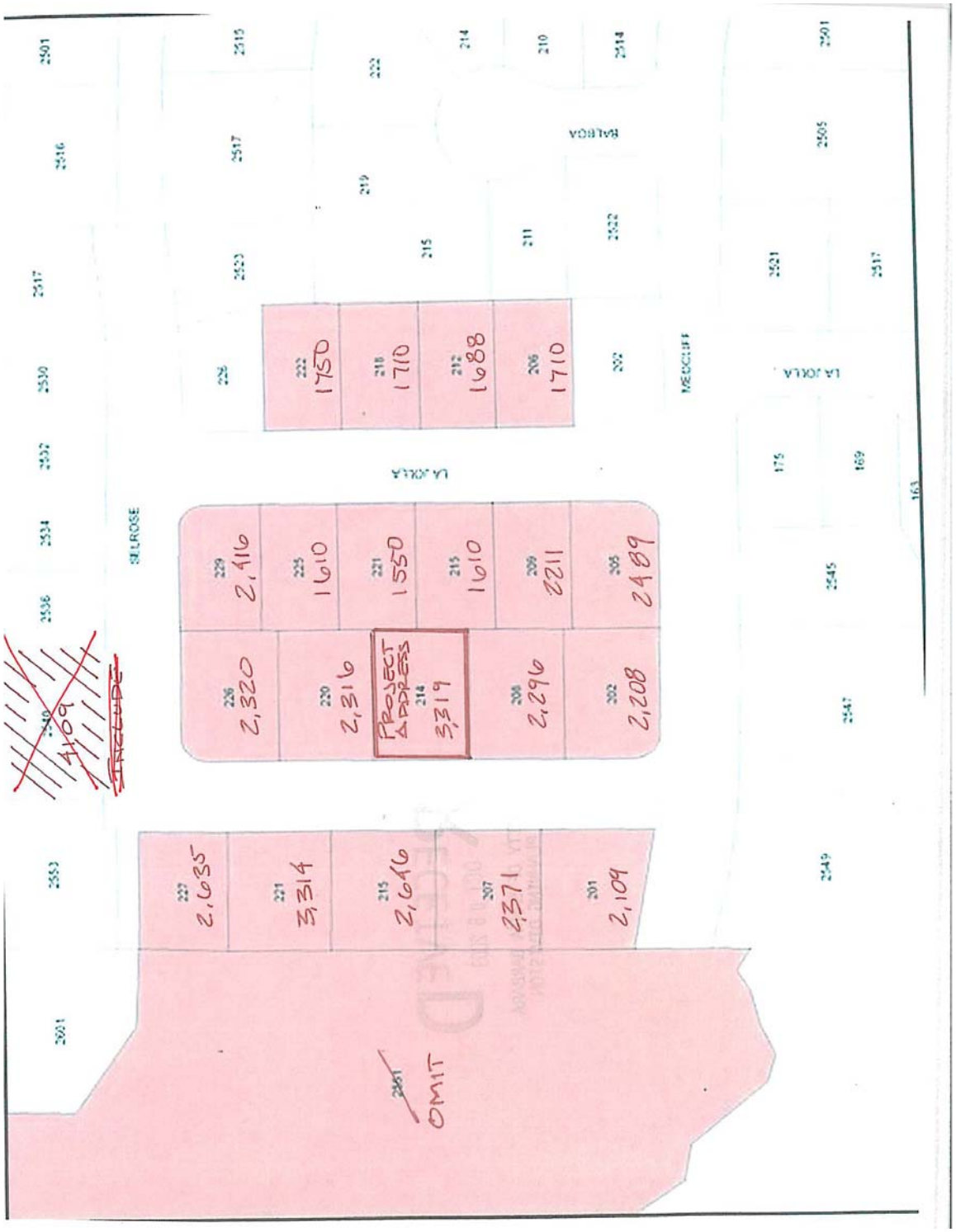
Further discussion regarding advantages and disadvantages associated with potential City regulation of private views are summarized in attachments to the October 2006 Ordinance Committee staff report. The Ordinance Committee and City Council decided that NPO findings should not require protection of private views. Ultimately, the City Council concluded that the inclusion of the Good Neighbor "tips" regarding private views in the 2007 Updated SFDG was the most prudent way to address the issue. In Staff's opinion, none of the legal considerations or other conditions that formed the basis of this decision have changed since 2007.

The current process allows for some dialogue between the SFDB and the project design architect. Design considerations are presented to explain how potential impacts to neighbors have been considered. The neighbors have an opportunity to share how their private views may be impacted by the project. In some cases, the applicant may choose a design alternative that lessens blockage impacts. The Board may require the installation of story poles, but private views are not provided specific protection. Some neighbors remain

frustrated with the SFDB review process if no design changes are made as a result of their potential view blockage complaints.

The city's existing approach to private views: providing a public forum where neighbors can briefly comment on concerns regarding views, providing tips in the guidelines, but not providing specific protection for private views, is still the recommended approach.

Example 20 Closest Home Data Submittal


SELROSE
LA JOLLA
BALBOA
MERCHIFF
LA JOLLA
4,109
INCLUDE
229 2,416
225 1,610
221 1,550
215 1,610
209 2211
205 2489
226 2,320
220 2,316
PROJECT ADDRESS
214 3,319
208 2,296
202 2,208
227 2,635
221 3,314
215 2,646
207 2371
201 2,109
OMIT
222 1750
218 1710
212 1688
206 1710

RECEIVED
OCT 0 6 2009
CITY OF SANTA BARBARA
PLANNING DIVISION

20 Closest Lots Data Ranked by Size
214 selrose lane

Address (Optional)	Data Source (Ex: Co. Assessor's Office)	APN	Lot Size	Floors	House	Garage /Carport	Total	Rank	
214 selose ln	Co. Assessor's Office	041-363-011	7,493	2	2,874	445	3,319	1	Largest
221 selrose ln	Co. Assessor's Office	041-362-008	7,405	2	2,616	698	3,314	2	
215 selrose ln	Co. Assessor's Office	041-362-009	7,405	2	2,137	510	2,647	3	
227 selrose ln	Co. Assessor's Office	041-362-013	6,534	2	2,127	508	2,635	4	
205 la jolla dr	Co. Assessor's Office	041-363-006	6,534	1	2,049	440	2,489	5	
229 la jolla dr	Co. Assessor's Office	041-363-008	6,098	1	1,984	432	2,416	6	
207 selrose ln	Co. Assessor's Office	041-362-010	7,405	1	1,750	621	2,371	7	
226 selrose ln	Co. Assessor's Office	041-363-013	7,840	1	1,900	420	2,320	8	
220 selrose ln	Co. Assessor's Office	041-363-012	7,405	1	1,587	729	2,316	9	
208 selrose ln	Co. Assessor's Office	041-363-010	7,405	1	1,565	731	2,296	10	
209 la jolla dr	Co. Assessor's Office	041-363-005	6,098	1	1,726	485	2,211	11	
202 selrose ln	Co. Assessor's Office	041-363-009	7,405	1	1,730	478	2,208	12	
201 selrose ln	Co. Assessor's Office	041-362-011	7,405	1	1,626	483	2,109	13	
222 la jolla dr	Co. Assessor's Office	041-361-019	6,098	1	1,354	396	1,750	14	
218 la jolla dr	Co. Assessor's Office	041-361-018	6,098	1	1,292	418	1,710	15	
206 la jolla dr	Co. Assessor's Office	041-361-016	6,098	1	1,292	418	1,710	16	
212 la jolla dr	Co. Assessor's Office	041-361-017	5,662	1	1,292	396	1,688	17	
225 la jolla dr	Co. Assessor's Office	041-363-002	6,088	1	1,170	440	1,610	18	
215 la jolla dr	Co. Assessor's Office	041-363-004	6,098	1	1,170	440	1,610	19	
221 la jolla dr	Co. Assessor's Office	041-363-003	6,098	1	1,170	380	1,550	20	
								21	Smallest

Average/Mean House Size (including project proposal): 2,214

Revised 8-21-07

To Sort, press all at same time: CTRL+SHIFT+S

20 Closest Lots Data Ranked by FAR
214 selrose lane

Address (Optional)	Data Source (Ex: Co. Assessor's Office)	APN	Lot Size in net sq. ft.	Floors	House	Garage /Carport	Total	FAR	FAR Rank	
221 selrose ln	Co. Assessor's Office	041-362-008	7,405	2	2,616	698	3,314	0.45	1	Largest
214 selose ln	Co. Assessor's Office	041-363-011	7,493	2	2,874	445	3,319	0.44	2	
227 selrose ln	Co. Assessor's Office	041-362-013	6,534	2	2,127	508	2,635	0.40	3	
229 la jolla dr	Co. Assessor's Office	041-363-008	6,098	1	1,984	432	2,416	0.40	4	
205 la jolla dr	Co. Assessor's Office	041-363-006	6,534	1	2,049	440	2,489	0.38	5	
209 la jolla dr	Co. Assessor's Office	041-363-005	6,098	1	1,726	485	2,211	0.36	6	
215 selrose ln	Co. Assessor's Office	041-362-009	7,405	2	2,137	510	2,647	0.36	7	
207 selrose ln	Co. Assessor's Office	041-362-010	7,405	1	1,750	621	2,371	0.32	8	
208 selrose ln	Co. Assessor's Office	041-363-010	7,405	1	1,565	731	2,296	0.31	9	
220 selrose ln	Co. Assessor's Office	041-363-012	7,405	1	1,587	729	2,316	0.31	10	
226 selrose ln	Co. Assessor's Office	041-363-013	7,840	1	1,900	420	2,320	0.30	11	
202 selrose ln	Co. Assessor's Office	041-363-009	7,405	1	1,730	478	2,208	0.30	12	
212 la jolla dr	Co. Assessor's Office	041-361-017	5,662	1	1,292	396	1,688	0.30	13	
222 la jolla dr	Co. Assessor's Office	041-361-019	6,098	1	1,354	396	1,750	0.29	14	
201 selrose ln	Co. Assessor's Office	041-362-011	7,405	1	1,626	483	2,109	0.28	15	
218 la jolla dr	Co. Assessor's Office	041-361-018	6,098	1	1,292	418	1,710	0.28	16	
206 la jolla dr	Co. Assessor's Office	041-361-016	6,098	1	1,292	418	1,710	0.28	17	
215 la jolla dr	Co. Assessor's Office	041-363-004	6,098	1	1,170	440	1,610	0.26	18	
225 la jolla dr	Co. Assessor's Office	041-363-002	6,088	1	1,170	440	1,610	0.26	19	
221 la jolla dr	Co. Assessor's Office	041-363-003	6,098	1	1,170	380	1,550	0.25	20	
									21	Smallest

Average/Mean Total of House + Garage Size (including project proposal): 2,214

Average/Mean FAR (including project proposal): 0.33

Revised 8-21-07

PART 2

Proposed Changes to the Neighborhood Preservation Ordinance and Guidelines

The following nine changes to the NPO and Guidelines are proposed for implementation.

Noticing

Proposed Change 1: Eliminate noticing for additions of less than 150 square feet to existing second stories.

The purpose of this change is to reduce the administrative time and expense associated with noticing projects where the level of public interest is generally low. The City currently requires notices for any size second story addition, capturing projects like bathroom remodels, or addition of dormer windows. Neighbors have shown little interest in small additions of less than 150 square feet to existing second stories.

Proposed Change 2: Reduce hand-delivered noticing to the closest 10 lots, rather than the closest 20 lots.

Hand-delivering notices have been working well in getting applicants face-to-face with neighbors to discuss projects. Currently, staff identifies the 20 closest lots for delivering notices using a geographic information system (GIS). The procedure requires expensive and cumbersome GIS software and specialized training so only a few city staff members can create the maps. If the number of lots required for hand-delivered noticing is reduced to ten, applicants could identify the lots themselves and Staff would no longer need to create maps. In most cases, it is the immediate neighbors who respond to noticing and offer comments on projects. Projects that require noticing would continue to post the on-site sign, and property owners within 300 feet would also receive a mailed notice regarding the project from the City. Reducing the hand-delivered notice requirement to the 10 closest neighbors instead of the 20 closest neighbors can more efficiently achieve noticing goals.

Proposed Change 2A: Eliminate the administrative practice of ensuring the 20 closest homes are noticed and simply maintain the standard 300 foot mailed noticing radius.

The purpose of this change would be to save Staff time and avoid confusion by having a consistent standard noticing requirement for all mailed notice projects. Implementation of this change would not require an ordinance amendment, simply a change to the Single Family Design Board Guidelines and Planning and Zoning Counter handouts.

Design Review Triggers

Proposed Change 3: Clarify the trigger for design review for roof alterations in the Hillside Design District to specify "new roof area" or "alterations to existing roofs that increase height or volume" for projects where the proposed work will be over 17' tall or two or more stories. The purpose of this change is to clarify the intent of the requirement for design review for roofs in the Hillside Design District. The proposed change makes explicit the kinds of changes to roofs that warrant Design Review. Intensification of roof development in the Hillside Design District is intended to be reviewed. Intensification of roof development can be in the form of new roof area, and increased height or volume of existing roofs, in addition to the replacement of roof coverings. The new language clarifies when Design Review is to be triggered.

Proposed Change 4: Change the trigger for Design Review for walls, fences or gates in front yards from six feet and greater in height to greater than 3.5 feet in height. Privacy walls in front yards can conflict with these design guidelines:

- Preference for entries to be visible from the street
- Preference for living area windows to be visible from the street to contribute towards a friendlier and safer neighborhood public streetscapes
- Minimize bulky designs/inappropriate apparent home massing

Therefore, Staff recommended Design Review of walls and fences in front yards that are 6 feet or taller as part of the NPO update. However, Staff has seen owners avoid the requirement for Design Review by proposing 5 foot 11 inch walls and fences. The change from six feet to three and a half feet for the Design Review trigger is proposed because a height of three and a half or less clearly maintains an open, friendly neighborhood character, does not contribute to bulk, and does not result in a significant "barrier" between the house and the street. Fences or walls 3.5 feet in height or less usually do not require building permits and are not limited by the Zoning Ordinance in their placement with regard to front lot lines and driveways. This proposal has two advantages: 1. it more closely aligns the trigger for design review with the requirement for a Building Permit, and 2. it captures walls and fences that may conflict with existing design guidelines.

Vales Street Front Yard Privacy Wall Example

North La Cumbre Privacy Fence Example

Alston Road Entry Wall Example

Crestline Privacy fence example

Foothill Road front yard fence example

Riviera Front Yard Fence Example

Staff Administrative Approvals

Proposed Change 5: Give Staff the authority to approve retaining walls as well as freestanding walls that meet the existing criteria for staff administrative approvals. Small retaining walls that otherwise meet the criteria for staff administrative approval pose no additional issues for design review as compared to freestanding walls. Examples of these would be walls that are retaining a minor amount of earth, walls that are freestanding with only a partial section that is retaining, or replacement of existing retaining walls. Retaining walls tend to be less visible than freestanding walls.

The SFDB Guidelines currently allow staff administrative approvals of walls if they are not retaining walls in the following circumstances. This proposal would allow staff administrative approvals of retaining walls that meet the same criteria and are less than 150' in length and involve less than 100 cubic yards of grading.

Proposed Change 5A: Give Staff the authority to approve black chain link fencing outside of front yards.

Additional item added to the administrative approval list based on discussions with SFDB. Staff to continue to work with SFDB to further refine this proposal to clarify under what specific conditions black chain link fencing can be approved.

Single Family Residential Design Guidelines & Single Family Design Board Guidelines

Proposed Change 6: Create new guidelines and provide more detail on selected topics in the Single Family Residential Design Guidelines and Single Family Design Board Guidelines.

Staff recommends the creation of an SFDB Subcommittee to address the following items:

Single Family Residential Design Guidelines

Site Planning and Structure Placement

- Subdivision projects which will go before the PC
- Uncovered parking spaces
- Coastal bluff special considerations, including use of privacy fences and hedges
- Improve references to city guidelines projects alongside creeks and their specific landscaping issues (e.g. riparian and native plant preservation).
- Improve references to the city's landscaping guidelines for water conservation.

Compatibility Guidelines

- How to implement FAR guidelines, including a list of case by case factors to consider, including how unusable portions of steeply sloped blufftop or

hillside lots might indicate a smaller square footage than allowed by FAR calculations as more appropriate.

- How to use 20 closest homes data (see pages 7-9 for example of data)
- How to determine if a basement design and size is appropriate and compatible with the surrounding neighborhood.
- Address covered elements such as covered loggias and decks:
  - suggest size limit thresholds where excessive amounts of these roof covered elements are being proposed could be considered as adding too much additional mass to a building design
  - include an advisory that future enclosure of roof covered elements could be denied on the basis that the loss of the architectural feature is considered a negative change and/or the increase in the additional square footage may be not be considered compatible with the neighbohrood.
- Glass guard rails

Good Neighbor Guidelines & Tips

- Update/revise lighting guidelines (Steve Hausz has agreed to provide assistance)

Single Family Residential Design Board Guidelines

Vacant Lot Review

- Consider whether site visits should be required for all new homes, and if not, then consider eliminating vacant lot reviews.

Procedures

- Clarify that five supporting votes are required by the SFDB for projects which seek an FAR Modification to be able to proceed to the PC.

When the subcommittee and SFDB complete their review, Staff would present the proposals to the City Council for adoption of guideline amendments.

Uncovered Parking Allowances

Proposed Change 7: Disallow uncovered parking encroachments on large lots for single-family residential projects that propose an uncovered parking space and require that the uncovered parking space be screened. The ordinance currently allows one covered and one uncovered parking space for any lot developed with less than 85% of the maximum FAR. The ordinance also provides for a setback encroachment of the uncovered parking space. One intention was to allow lots that are non-conforming with only one covered parking space to be brought into compliance without the burden of constructing new covered parking structures. Another intention of the provision of the setback encroachment was to facilitate an additional parking space on smaller, constrained lots. Occasionally, these provisions have been implemented on larger lots or for new development on vacant lots. Staff proposes that:

- the setback encroachment only be allowed on lots less than 15,000 square feet
- that uncovered parking spaces be screened from the street
- Uncovered parking spaces may encroach three feet into setbacks, but a minimum of three feet from property lines must be maintained

Optional Second Proposed Change 7A: Study an option to allow case by case waivers which could be granted by the SFDB for two uncovered parking spaces for homes under 80% of the maximum FAR could be added. Design Review would be required for the uncovered parking spaces. Two uncovered parking spaces would typically require only 333 square feet (18' by 18.5'), whereas a two-car garage requires 400 square feet (interior 20' by 20'). A subcommittee of the SFDB working with staff would further refine this proposal. Minimum standards would be determined as well as supporting factors for waivers which would be listed in the Single Family Design Guidelines. Standards and guidelines may include specifications such as the following:

- No more than 80% of the maximum FAR
- The uncovered space is not located in any front yard
- The uncovered spaces is screened from public view
- The lot's width is no more than 55'
- The uncovered spaces uses permeable material
- 200 cubic feet of lockable storage detached from occupied space suitable for the storage of hazardous cleaning and maintenance products is provided if no garage is provided
- A bicycle parking area is provided

This change to the ordinance and guidelines could support these goals:

- Minimize the unfriendly/bulky appearance of garages on street facades and allow for more "open" site designs.
- Maximize permeable surfaces on lots.
- Maximize site development flexibility for constrained lots, avoiding the need for demolition of major portions of existing structures to accommodate additions in many cases.
- Reduce overall single-family housing construction costs, as uncovered parking spaces are much less expensive to construct than garages or carports.
- Achieve an overall increase in the amount of off-street parking actually available/in use on a day to day basis in single-family neighborhoods, since a number of garages are illegally converted to storage and uncovered spaces are less likely to be converted to storage.

Potential disadvantages to this second proposal option 7A could include:

- Even with the 200 cubic yards of required storage space, some properties without the incidental storage provided in garages might have aesthetically inferior sheds installed to provide additional storage.
- Temporary plastic canvas shade structures may be erected for people who are concerned about their cars getting hot in the sun if the screening mechanism, buildings or trees nearby don't provide adequate shade. This would constitute aesthetic issues and could lead to more enforcement cases.
- A practice of parking in uncovered spaces may lead some people to also park in undesignated spaces on the property.
- Electronic gates used to screen cars might not be closed all the time, making cars visible, and this issue would be difficult to address through enforcement.
- Screening fences or hedges may not be maintained over time, whereas a garage structure would take longer to degrade than fences and hedges. While enforcement for illegal conversion of garages to storage may lessen, additional enforcement cases regarding screening maintenance may occur.
- Some residences prefer the appearance of garages over screening such as hedges, fences or gates, even if the garage takes up a large portion of a home's street façade.
- Water usage may increase slightly due to the need to wash cars more often if they are not parked inside garages. However, the permeable paving area will allow water to soak into the ground instead of flowing straight to creeks, allowing for some level of pollutant control.

Green Building Standard for Large Residences

Proposed Change 8: Update the Ordinance to clarify that programs equivalent to the Santa Barbara Contractor Association's Built Green program are acceptable for homes over 4,000 square feet. Projects subject to the two-star Santa Barbara Built Green requirements may use alternative programs, to allow applicants flexibility in meeting the requirement; the ordinance language needs to be updated to clearly state this. Acceptable alternative programs include a California Green Builder certification for new homes, Green Point Rated certification, LEED for homes certification, or a National Green Building Certification program rating.

Proposed Change 8A: Exempt additions of less than 500 square feet from the Built Green requirement. Additions of less than 500 square feet are proposed to be exempted from the Built Green requirement. Garage, minor accessory structure or bathroom additions have triggered the Built Green requirement since 2007. The expense of the Built Green program can be disproportionate to the incremental change such small additions pose. Also, the complexity of the green building checklist and point options appear better suited for additions larger than 500 square feet.

Proposed Change 8B: Clarify that both Historic Landmarks Commission and SFDB single family home projects resulting in over 4,000 square feet are subject to the Built Green requirement.

Budget Reduction Adjustments

Proposed Change 9: Study reducing the number and type of Design Review projects and increasing staff administrative approvals. Given difficult economic conditions, the City has been reducing General Fund expenditures and more significant adjustments must be considered for next fiscal year beginning July 1, 2010. Community Development Department Staff will be considering changes in all programs, including Design Review. Additional discussions will be held with Boards and Commissions, the public, and Council before changes are made. Possible changes affecting the NPO and SFDB include reducing the number and type of projects reviewed by the Board, and increasing staff administrative approvals.

Proposed Change 9A: Implement two specific proposals to reduce single family residential design review functions.

Two specific potential draft proposals to reduce review purview or extent of review are as follows

1. **Hillside Exterior Alterations.** The Design Review trigger for review of any proposed alteration on a property with a slope greater than 20% in the Hillside Design District which requires a building permit would be revised. Rather than any exterior alterations requiring a building permit on such sites triggering review, other project aspects, such as project height, size, retaining walls,

significant second story decks, grading, etc. would trigger projects in the Hillside Design District for design review, just as those project aspects are triggered in Infill areas. The goal of this change is to reduce the quantity of minor projects less likely to affect neighborhood character being subject to Design Review. If this item is to be implemented, a few additional triggers for particular types of alteration projects of particular concern may be need to be implemented.

2. **Projects Not Publicly Visible.** Some projects which are triggered for review are situated on a lot in a manner in which they are not visible from immediately surrounding public streets or parks. Such projects are proposed to be eligible for Staff approval to save time in placing such projects on SFDB agendas. Also, administrative waivers of some of the standard administrative review criteria in the SFDB Guidelines should be allowed where projects are not publicly visible.

PART 3

Additional Proposals Communicated to Staff that are Not Recommended for Implementation

In addition to the topics which Council specifically asked Staff to consider, staff met with a number of neighborhood organizations and that resulted in additional topics. Also staff reviewed a report by Jason Smart, a former city staff-member and recent graduate of the University of British Columbia School of Community and Regional Planning Master's Degree program. Mr. Smart's report summarized interviews he'd conducted of SFDB members and former NPO Steering Committee Members.

As a result, a number of proposals for change have been considered by staff. Those which are considered appropriate for implementing are listed in Part 2 of this report. Items which are not recommended to change are listed here with a brief explanation as to why the change is not advisable.

In general, staffing resources are increasingly limited due to new City budgetary constraints. As a result, only the most important changes are recommended for implementation. Non-essential changes are not recommended for implementation.

Noticing

A. Require notices for roof decks.

Proposal: Roof decks do not count as floor area and so are not noticed if they are proposed independently of a second story addition. Unenclosed second or higher story work may have greater impacts to neighbors than enclosed square footage. Also, if these unenclosed areas are roofed, they could block views as an addition could.

Staff Response: Roof decks are usually proposed with second story additions, which do have noticing requirements. If someone were to "piece-meal" a roof deck, subsequent to the second floor addition, design review would still be required for the roof deck. Interested parties for the property would receive the Full Board or Consent Calendar agenda for the item. The SFDB is very careful in reviewing second floor decks for potential privacy issues. Requiring noticing for all upper story roof deck projects is not necessary.

Design Comments

B. Proposal: Minor details like door color should not be reviewed by the SFDB. The Board should be restricted to big issues of size, bulk and scale. (SBAOR)

Staff Response: Past development projects have shown that poor choices of color, materials and details can create obviously incompatible developments in a neighborhood. The SFDB is charged with reviewing size, massing and scale issues as well as design details. The projects the Board reviews are those with more potential to have neighborhood visual impacts, such as two-story or hillside homes.

Design Review traditionally consists of two major steps. First, a design review hearing body looks for an overall size, bulk and massing of a project to ensure neighborhood compatibility and site appropriateness. Second, appropriate design details proposals is assured. Both roles are essential to achieving an aesthetically pleasing environment in Santa Barbara. Within reason, commenting on design details to ensure quality and a cohesive look is within the SFDB purview, as supported by the SFRDG. Larger projects are often held to a higher standard in design details as their visual presence is stronger than smaller projects. The quality of design details in the surrounding neighborhood also plays a role in the level of quality of detail required by the SFDB for a particular project.

The SFDB's existing practices regarding reviewing design details should continue.

Floor to Lot Area Ratios (FAR)

C. Proposal: Some groups, including the SBAOR, AIA and City-Wide Homeowners Association (CWHOA) are asking for larger maximum FARs for small lots and to eliminate the requirement for a zoning modification for projects above 85% of the maximum FAR in conjunction with building height, slope of lot, and quantity of grading. Others, including the Allied Neighborhood Association (ANA), Citizens Planning Association (CPA) and the local chapter of the League of Women Voters (LWV) would like smaller maximum FARs for small lots.

Staff Response: Generally, the FAR chart appears to working effectively. The current FAR maximum formulas were the result of a great amount of discussion and compromises that on the whole appears to be functioning appropriately. Adjustments to the FAR chart for lots under 15,000 square feet do not appear to be warranted. On September 14, 2009 the SFDB visited several sites to see projects they have approved. The projects which approached the maximum FAR appeared in reality to be approaching the maximum size that would be appropriate for the site. The current compromise of maximum square footages by lot size appears to be effective.

D. Proposal: Provide floor area bonuses for design features such as a detached garage or carport, solar power inclusion or Built Green status. (SBAOR)

Staff Response: This concept was considered by the NPO Steering Committee in their discussion of Issue Paper D as part of the NPO Update process. This would overly

complicate the process. Square footage limits are based on design aesthetic and neighborhood compatibility concerns. The items listed as potentially earning bonus square footage, would not necessarily alleviate the design concerns which additional square footage might pose. Choosing logical appropriate amounts of bonus square footage area for given features would be problematic and likely involve a lengthy public review process to implement.

E. Proposal: Allow the maximum floor area for single family homes on small lots to be larger than what is allowed for three-bedroom affordable apartments. (CWHOA)

Staff Response: There is no upper limit to the size of affordable apartment units, only a minimum size, so this comparison isn't relevant. The City's minimum size requirement for a three-bedroom affordable apartment is 990 square feet. With affordable apartment projects, the City's challenge is commonly to convince developers to make the affordable units larger. The City's maximum size limit for a home on a 6,000 square foot lot is 2,700 square feet. Single family homes on small lots are certainly typically larger than affordable three-bedroom apartments.

F. Proposal: Change how the FAR chart for large lots functions. Some groups would like maximum home sizes to be larger for larger lots. (AIA, SBAOR, CWHOA) Others would like the FAR guidelines for large lots to be changed into requirements. (LWV, ANA) Examples of proposals received include:

- Development of multiple smaller buildings should be encouraged via a 20% increase in allowable FAR if lot is > ½ acre, slope is < 10%, main house is < 85% max FAR, and there is a minimum 10 foot separation between buildings.
- 500 sq. ft. of accessory structures should be exempt from FARs on large lots.
- Secondary units should / should not count in FARs

Staff Response: Generally, the FAR chart appears to working effectively. The current large lot FAR maximum guideline formulas were the result of a great amount of discussion and compromises that on the whole appears to be functioning appropriately. Adjustments to the FAR chart do not appear to be warranted. The current approach, which was the result of compromises made in the NPO Update, appear to be effective and appropriate.

G. Proposal: Do not fully count steeply sloped lot areas, including coastal bluff areas, toward the total lot area when determining maximum FAR for projects. For example, slopes of 10-20% should reduce lot area by one third for the calculation of FAR. 21-30% slope should decrease lot size by one half. Over 30% slope should reduce lot area by two thirds. This would help protect hillsides and public views of hillsides, also helps with erosion issues. (ANA, LWV, CPA)

Staff Response: The current FAR regulations reduce the amount of floor area allowed on sloped lots without a PC modification to 85% of the maximum floor to lot area in the following circumstances:

- The average slope of the lot or the building site is 30% or greater.

- The lot is in the Hillside Design District and more than 500 cubic yards of grading is proposed outside the footprint of the main building.

Creating new formulas and calculation methods to further reduce sloped lots FARs would complicate the review process. Additionally, the SFDB has considers lot constraints in reviewing projects for appropriate FARs. The SFRDG feature a chapter on the appropriate design of hillside development. Also, the SFDB must make hillside findings for sloped lot projects that the project protects natural topography and has an appropriate building scale. Given overriding goals for a simple review process and budget/staffing constraints, the current reductions in floor area in the ordinance for sloped lots and discretionary SFDB tools to address this topic are considered adequate.

H. Proposal: Use gross rather than net square footage because we view gross size and net can be manipulated and increased later. (CPA and SFDB Member) The SBAOR advocates continued usage of net square footage for FAR measurements.

Staff Response: This idea was carefully considered as part of the NPO Update process in Issue Paper D. Although gross square footage better reflects what is seen because it includes the thickness of exterior walls, gross square footage is not used in the Design Review process for these reasons:

- Thicker walls are aesthetically more appealing, not counting wall thickness encourages thicker walls.
- Other Zoning calculations are dependent on net floor area. For example, the two-car garage "trigger" is based on a 50% net floor area addition and Measure E also uses net floor area. It is easier to use consistent calculations during the zoning plan check and design review process.
- Switching to gross square footage measurements at this point in the process would require re-calibration of the FAR chart. Sine the interest in changing to gross floor area calculations does not appear great, the accompanying staff time, public outreach and review of this proposal would not be justified.

I. Proposal: Some have requested that basement square footage discount provisions be eliminated and others have requested that basement discount provisions be made broader and greater.

Staff Response: It appears that the current basement square footage discount provisions strike an appropriate balance between simplicity and fairness. Additional basement discount provisions would likely need to be more complicated, with detailed calculation provisions, in order for them to be implemented fairly. Alternatively, in many cases, eliminating basement square footage discounts would result in FAR figures less closely reflecting the "visible" square footage of a proposed structure. Rather than update the ordinance regarding basement square footage calculations, Staff proposes to work with a Subcommittee of the SFDB to provide guidelines regarding appropriate basement design.

Parking

J. Proposal: Make triggers for the two-car garage requirement more lenient for narrow lots (ex. 50' wide). Some older neighborhood tracts of narrow lots have a large number of homes fully built out across the lot width with an existing legal non-conforming one-car garage. For these lots, the only way to have a two-car garage would be to demolish the one car garage and a portion of the home square footage adjacent to the garage - which often leads to complete demo./rebuild projects. Exceptions should be made for site layouts where a two-car garage would lead to a complete demo-rebuild. Or the 50% addition trigger for a required two-car garage should be changed to a 75% addition trigger, consistent with the new fire sprinklers requirement trigger. The current 50% addition two-car garage compliance trigger unfairly affects smaller homes. For example, a 1,000 square foot home trying to add on 500 square feet may not be allowed to do that without such a substantial amount of demolition that a complete demolition/rebuild becomes more feasible to accommodate a two-car garage. (AIA)

Staff Response: The 2007 NPO created a new provision, whereby one uncovered parking space can be provided behind a home, rather than requiring a two-car garage to allow flexibility on small lots (SBMC28.90.100.G.1.b). A project at 2921 Paseo Del Refugio was approved in June 2009 which features not only an uncovered parking space behind the house, but also tandem parking, so that the original home lay out could be preserved. For that project, parking is to be provided in the existing 236 square foot one-car garage and one uncovered space in a tandem parking configuration.

Further changes to the ordinance would be too complicated and time consuming at this time. The current uncovered parking standard provides sufficient flexibility to address this concern.

K. Proposal: Allow 19' wide two-car garages on small constrained lots.

Staff Response: 20' by 20' is the recommended two-car size to ensure functional use of garages, given space needed to open and close car doors, safely pull in and out, etc. The Public Works, Transportation Planning Division allows garage width waivers on a case by case basis where legal non-conforming issues on constrained sites prevent a full 20 foot wide garage.

SFDB Membership

L. Proposal: Some organizations would like the SFDB to have a higher percentage of community at large members in place of architects (LWV, CPA). Other organizations would like the SFDB to have a higher percentage of architects on the Board (AIA, SBAOR).

Staff Response: The current make up of the SFDB has generally the same number of professional and community at large positions as does the ABR. Following are the number of members in each category for both the ABR and SFDB with notes where the ABR membership will be reduced:

- Two licensed architects.
- One licensed landscape architect. (ABR currently has two landscape architects, will become one position, as landscape architects are especially difficult to recruit)
- Three persons who possess professional qualifications in fields related to architecture, including, but not limited to, building design, structural design, structural engineering, industrial design, or landscape contracting.
- One representative of the public at large. (ABR currently has two public at large positions, will be reduced to one public at large position.)

At the time the NPO Update was completed, Council felt it was important for the same balance of review board membership types to be copied for the SFDB so that applicants would have a review experience similar to the reviews previously performed by the ABR. Identical SFDB and ABR membership categories helps to provide consistency in the City's design review process. No change in SFDB membership is needed at this time.

M. Proposal: There should be no membership overlap between ABR and SFDB. (Citizen's Planning Association)

Staff Response: Overlap between the ABR and SFDB does not appear to be an issue to staff. Paul Zink and Gary Mosel have participated in both the ABR and SFDB since the NPO Update. This overlap was viewed as preferable for the beginning stages of the SFDB to ensure that business is conducted in a similar fashion between the ABR and SFDB. Now that the SFDB has been established for two years, overlaps in membership are no longer critical between the two boards, but it also would not appear to be an issue. The two boards have mutually exclusive jurisdictions so a member participating on both boards does not have inordinate influence on any project. The only concern staff might have regarding a future volunteer participating on both boards is the substantial time commitment required and the ability of an individual to devote time to both boards. The City Council can make the decision to allow an individual to participate on both boards when appointing members.

N. Proposal: All SFDB members should be able to read plans. If they cannot read plans, then members should be trained in how to read plans. (CPA)

Staff Response: City Council makes appointments to the Design Review Boards, and plan review skills could be a Council question topic. Members have traditionally been able to obtain plan reading skills without much staff assistance. Staff and Board members can provide some training assistance as needed to improve plan reading abilities. Public at large members do not have the same level of training as an architect, but can provide a unique perspective in reviewing applications.

SFDB Hearings

O. Proposal: Public commenters should be allowed more than two minutes to speak. Also, adjacent neighbors most directly affected by a proposed project should be allowed more time to speak.

Staff Response: The SFDB must balance public participation with an efficient review process. The SFDB Chair, as with all hearing body chairs, has the discretion to slightly extend individual public comment time-frames, including potentially adjusting time allowed for immediate neighbors, depending on the number of speakers present and the board's progress on an agenda where possible in keeping an on-time agenda. It is unusual at SFDB hearings to have large numbers of the public wishing to speak. Individuals are usually given adequate time to make their comments. Members of the public are always welcome to submit lengthier written comment in advance which can be reviewed by board members prior to the public hearing.

P. Proposal: Council and PC liaisons and City Attorney should attend SFDB meetings. (CPA)

Staff Response: Council and PC liaisons receive agendas for the hearing bodies which they serve as liaisons to and choose to attend hearings for items at their discretion. The SFDB or staff occasionally specially request attendance by liaisons for controversial items. SFDB liaisons from Council and PC have many time consuming duties, and it would not be reasonable to expect them to attend every SFDB hearing. Also, liaisons can view an agenda item through video recordings if issues arise with a specific project.

Modifications

Q. Proposal: If the SFDB is not in favor of a modification request, the PC should decide on the mod; SFDB should be given authority to refer Modifications to PC instead of the Staff Hearing Officer (SHO). (CPA)

Staff Response: The SHO was created to more efficiently review smaller projects, allowing the PC to focus their time on projects which have potentially broader community land use issues, although the PC does have the ability to suspend SHO actions and require a PC hearing. SHO decisions can be appealed to the PC. Single family home modifications do not typically have the breadth of impact which the PC is intended to address. Such a referral process would overly complicate the City's review process and decrease certainty.

PART 4

List of Projects Appealed to City Council & Appeal Statistics

SFDB has had five appeals since the NPO Update was adopted in May 2007 and September 2009.

1057 Arbolado Rd.

Proposal for additions and remodeling for an existing one-story, 2,024 square foot single-family residence, including a 531 square foot attached two-car garage. Proposed additions consist of a new 636 square foot second story, 620 square feet at the first floor, and demolition of 189 square feet on the first floor. The project includes 331 square feet of second-story decks, replacement of all roofing, complete exterior remodel, demolition of 1,070 square feet of patio, 681 square feet of new first-floor patio, repaving the driveway, and 50 cubic yards of fill grading. Zoning modifications were approved for additions and alterations in the front setback, and for part of the required open yard to be provided in the front yard.

FAR Statistics: The proposed total of 3,091 square feet is 74% of the maximum allowable Floor-To-Lot-Area-Ratio.

Appeal Issues: Upper-level decks impact privacy. Size, bulk, and scale and architectural style are not compatible with the neighborhood. The project does not preserve public views.

Council Action: Modified the SFDB decision: Council denied the appeal and directed SFDB to review the project and require a higher deck screening in the direction of the neighbor who appealed the case.

Current Case Status: SFDB reviewed and approved the project per Council direction and the project is now under construction.

3455 Marina Drive.

Construct a 5,390 square foot one-story single-family residence including a 574 square foot three-car attached garage. The project includes a swimming pool, patio, a 27 square foot half-bath structure, septic system, site walls, fencing, synthetic putting green, solar panels, and landscaping. The project is located on a 1.2 acre lot in the coastal zone.

FAR Statistics: The proposed total of 5,390 square feet is 102% of the maximum guideline FAR.

Appeal Issues of Planning Commission, City Council, and Coastal Commission Decisions: FAR is not compatible with the neighborhood, public views preservation. Appeals denied. **Appeal Issues of SFDB Decision:** Public view preservation violated by final landscape plan.

Council Action: Upheld SFDB decision: Council denied appeal.

Current Case Status:
Building permit application received in July 2009. Plan check corrections printed for applicant in September 2009.

2105 Anacapa St.

The project involves the demolition of the existing 1,752 square foot single-family residence and detached 340 square foot garage and construction of a new 4,183 square foot three-story single-family residence and attached 410 square foot two-car garage. Zoning modifications were approved to allow alterations to two facades of the house that are proposed to be replaced within two front yard setbacks. The 9,372 square foot project site is located in the Upper East neighborhood and the Mission Area Special Design.

FAR Statistics: The floor to lot area ratio (FAR) calculation includes a 100% deduction for the 783 square foot full basement and a 50% deduction for the 870 square foot partial basement/garage. The FAR total of 3,375 square feet is 95% of the maximum floor to lot area ratio.

Appeal Issues: Size, bulk, and scale and the setback of the structure are not compatible with the neighborhood.

Council Action: Upheld SFDB decision and denied appeal.

Current Case Status: Project will return to the Full Board for Final Approval.

3750 Meru Ln.

Proposal to construct a new 3,307 square foot two-story single family residence, including attached 479 square foot two-car garage. The project includes demolition of the existing 2,279 square foot single-family residence with 400 square foot garage on the 15,534 square foot lot.

FAR Statistics: The proposed total of 3,786 square feet is 86% of the maximum guideline floor to area ratio.

Appeal Issues: Size, bulk, and scale are not compatible with Meru Lane. Privacy impacts to adjacent neighbor.

Appeal withdrawn: Neighbors reached a compromise on square footage without an appeal hearing.

Current Case Status: Project was continued to Full Board for in-progress review.

803 Rametto Rd.

Proposal for 350 square feet of additions to the first floor and a new 691 square foot second-story. The project includes a new deck, entry porch, and remodeling. The existing 1,837 square foot one-story single-family residence and attached 499 square foot two-car garage is located on a 40,678 square foot lot in the Hillside Design District.

FAR Statistics: The proposed total of 3,832 square feet is 77% of the maximum guideline floor to lot area ratio.

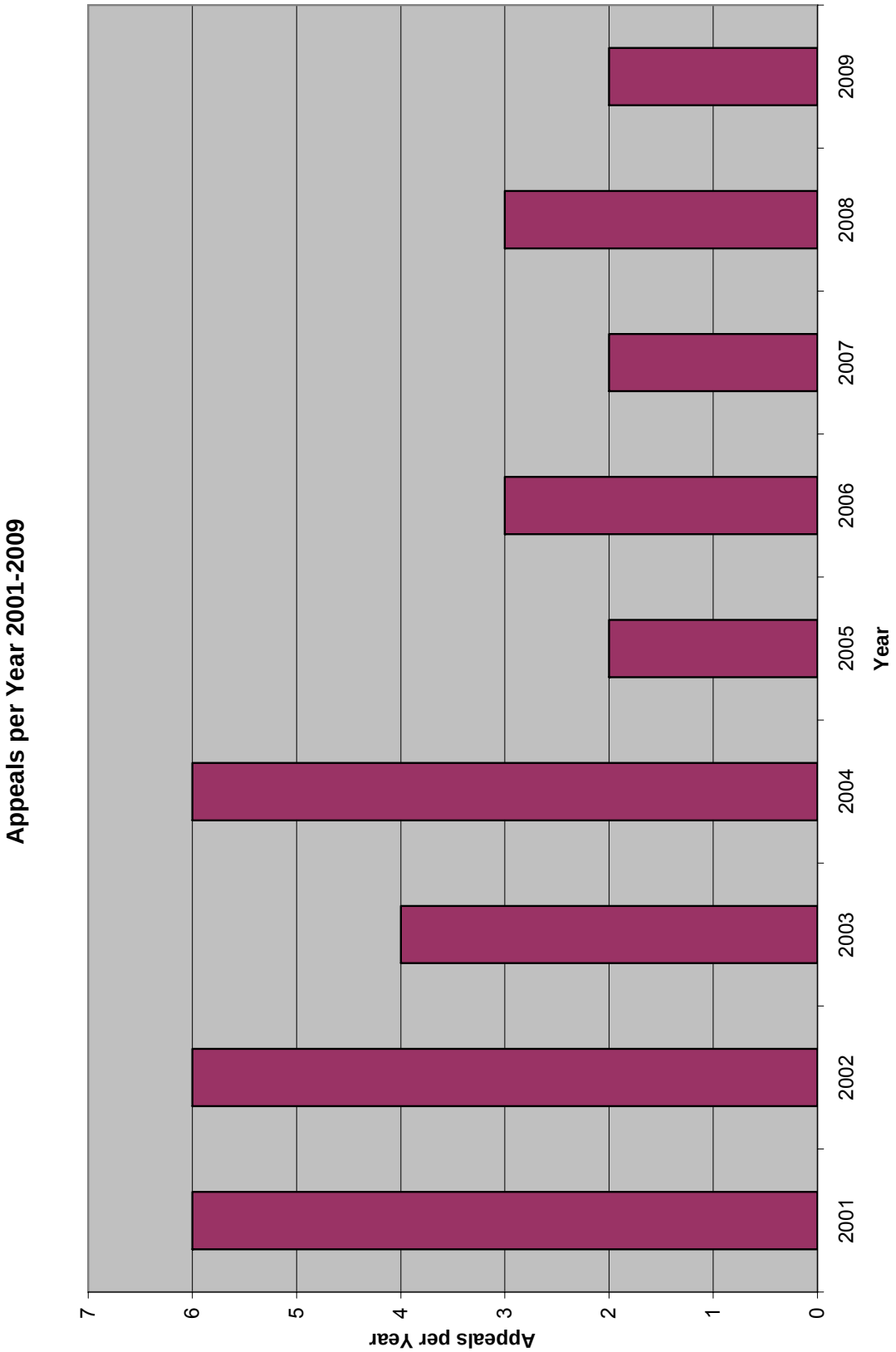
Appeal Issues: New second-story and deck impact privacy and property value of adjacent neighbor.

Current Case Status: Appeal received of SFDB final approval on September 24, 2009.

Appeal pending: Appeal withdrawn.

Appeal Cases 2001 - 2009

		DATE	STREET #		STREET NAME	BODY	
2001	6	3/23/2001	151		La Jolla Drive	ABR	
		4/24/2001	1402		Grand Avenue	ABR	
		6/26/2001	801	E	Montecito Street	ABR	
		7/10/2001	212, 214 & 218		Equestrian Avenue	HLC	
		10/2/2001	121		West Mountain Drive	PC	
		10/23/2001	536		De La Vista Avenue	ABR	
2002	6	1/29/2002	1011		San Carlos Road	PC	
		3/19/2002	1825		Stanwood Drive	PC	
		5/21/2002	2221		Anacapa Street	ABR	
		7/23/2002	334		East Padre Street	PC	
		8/20/2002	3731		Amalfi Way	ABR	
		10/8/2002	398	W	Mountain Drive	ABR	
2003	4	4/29/2003	17		Celine Drive	ABR	
		9/16/2003	2540		Clifton Drive	PC	
		11/18/2003	3208		Campanil Drive	ABR	
		12/16/2003	1960		Mission Ridge Road	ABR	
2004	6	1/13/2004	1820		Anacapa Street	ABR	
		3/2/2004	3408		Madrona Drive	ABR	
		6/24/2004	1535	W	Mountain Drive	ABR	
		7/13/2004	3349		Cliff Drive	ABR	
		7/27/2004	221		San Clemente Drive	ABR	
		8/3/2004	2135		State Street	ABR	
2005	2	5/3/2005	2928		Arriba Way	ABR	
		5/24/2005	1464		La Cima	ABR	
2006	3	3/7/2006	3501		Sea Ledge Lane	ABR/PC	
		4/6/2006	1025		Las Alturas	ABR	
		7/11/2006	559		Ricardo Ave.	ABR	
2007	2	2007	1443		San Miguel	ABR	
		2007	1575		La Vista Del Oceano	ABR	
2008	3	8/5/2008	3475		Marina Drive	ABR	
		2008	3455		Marina Drive	SFDB	
		2008	1057		Arbolado	SFDB	
2009	2	2009	2105		Anacapa Street	SFDB	
		2009	803		Rametto	SFDB	
		~~*2009*~~	~~*3750*~~		~~*Meru*~~	~~*SFDB*~~	*(withdrawn)*


Appeals per Year 2001-2009
Appeals per Year
7
6
5
4
3
2
1
0
2001
2002
2003
2004
2005
2006
2007
2008
2009
Year

PART 5

9-14-09 Single Family Design Board Site Visit Photographs

627 Dolores MST2007-00417
Proposal for a 909 square foot two-story addition to an existing one-story single-family residence on a 7,300 square foot lot in the Hillside Design District. Included in the proposal is removal of an as-built second-story deck, a new 109 square foot second-story deck, and an as-built gazebo. The proposed total of 2,563 square feet has a FAR of 0.35 and is 85% of the maximum.

1418, 1420, and 1422 Santa Rosa Avenue

1418 Santa Rosa Ave. MST2007-00310
Proposal for a 2,995 square foot one-story residence including an attached 469 square foot two-car garage on a 9,288 square foot lot, which is the front lot of a newly created three lot subdivision. All three lots will be served by a 16 foot wide common driveway along the eastern property line. The project includes approximately 143 cubic yards of grading outside the building footprint. Planning Commission approved the Tentative Subdivision Map, Modifications, Public Street Waiver, and Coastal Development permit for the project under MST2006-00288. The proposal has a FAR of 85% of max.

1420 Santa Rosa Ave. MST2007-00312
Proposal for a 3,060 square foot one-story residence including an attached 541 square foot two-car garage on a 9,262 square foot lot, which is the middle lot of a three lot subdivision. All three lots will be served by a 16 foot wide common driveway along the eastern property line. The project includes approximately 199 cubic yards of grading outside the building footprint. Planning Commission approved the Tentative Subdivision Map, Modifications, Public Street Waiver, and Coastal Development permit for the project under MST2006-00288. The proposal has a FAR of 87% of max.

1422 Santa Rosa Ave. MST2007-00313
Proposal for a 2,413 square foot one-story residence with an attached 628 square foot two-car garage on a 9,239 square foot lot, which is the rear lot of a three lot subdivision. All three lots will be served by a 16 foot wide common driveway along the eastern property line. The project includes approximately 204 cubic yards of grading outside the building footprint. Planning Commission approved the Tentative Subdivision Map, Modifications, Public Street Waiver, and Coastal Development permit for the project under MST2006-00288. The proposal has a FAR of 87% of max.

1600 Shoreline Drive MST2007-00123

Proposal to add 458 square feet first- and 470 square feet second-story additions to an existing 1,528 square foot one-story single-family residence and to replace the existing attached 409 square foot two-car garage with a new 410 square foot two-car garage. Also proposed are a 254 square foot roof deck and a 225 square foot veranda. The project is located on a 7,866 square foot parcel located in the non-appealable jurisdiction of the Coastal Zone. The proposed total of 2,875 square feet is 91% of the maximum FAR.

1394 Shoreline Drive MST2007-00344

Proposal to construct a new two-story 2,980 square foot single-family residence and attached 500 square foot garage. The existing 1,109 square foot house and attached 400 square foot garage on the 9,781 square foot lot will be demolished. The project is located in the non-appealable jurisdiction of the coastal zone. The proposed total of 3,480 square feet is 95% of the maximum FAR.

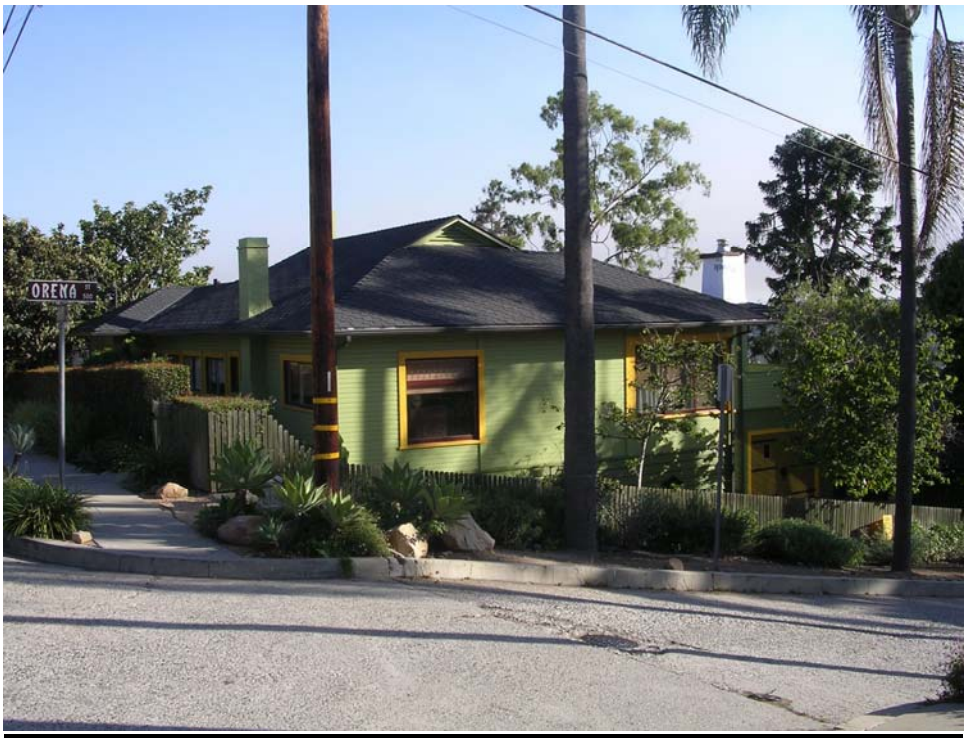
3035 Hermosa Road MST2007-00432

Proposal to remodel and add an 828 square foot second-story to an existing 2,007 square foot single-family residence including a 460 square foot two-car garage on a 8,712 square foot lot. The proposal includes demolition of 115 square feet on the first floor, an addition of 94 square feet to an existing first floor deck, and a new 80 square foot deck on the second floor. The project will result in a 2,720 square foot two-story residence which is 80.5% of the maximum FAR.

2929 Serena Road Revised proposal for a 566 square foot two-story addition and interior remodeling. The existing 1,954 square foot two-story single-family residence including 374 square foot attached two-car garage is located on a 6,000 square foot lot. Staff Hearing Officer approval for a modification of the solar access ordinance is requested. The total of 2,520 square feet is 93% of the maximum floor to lot area ratio.

1943 Grand Avenue MST2007-00015 R-2 zone

Proposal for remodeling and additions to an existing 1,968 square foot two-story single-family residence on a 7,018 square foot lot in the Mission Area Special Design District. The proposal would add 633 square feet of living area, two attached 242 square foot one-car garages, and 284 square feet of roof decks. The proposed total of 3,085 square feet is 104% of the maximum guideline FAR.



2290 Las Tunas MST2008-00262

Proposal for a 134 square foot first floor addition, a 580 square foot second story addition, a 704 square foot three-car garage, a 218 square foot deck, and a 348 square foot covered porch, a new pool and spa, 1,550 cubic yards of grading to be balanced on the site, conversion of the existing garage to habitable space, and the demolition of 8 square feet of the garage. Existing development on the site includes a 3,184 square foot single-family residence and attached 693 square foot garage, and a 756 square foot accessory structure. The project is located on a 2 acre lot in the Hillside Design District. The proposed total of 6,043 square feet is 108% of the maximum guideline FAR.

1121 Quinientos MST2007-00277

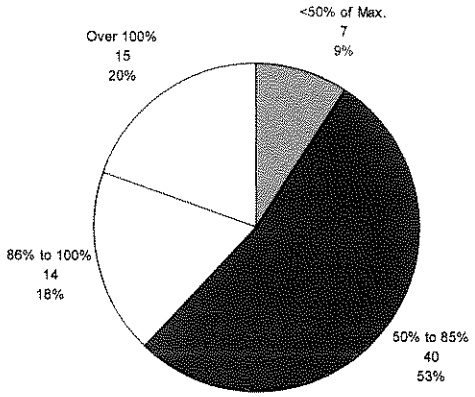
Proposal to construct a 3,458 square foot two-story residence and an attached 500 square foot two-car garage on a 11,275 square foot lot. The proposal includes demolition of the existing 951 square foot single-family residence, detached 551 square foot two-car garage, and existing 117 square foot accessory structure. The proposed total square footage of 3,458 is 88% of the maximum guideline FAR.

NPO Two Year Review- Comparison of ABR vs SFDB Projects

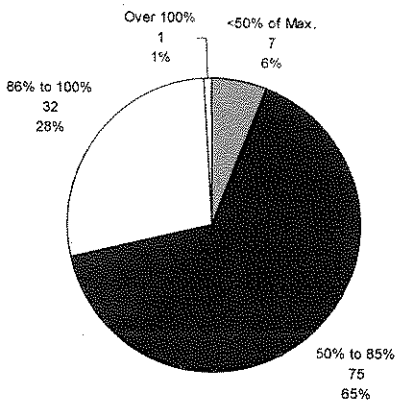
	Pre NPO Update 7/2003-7/2005 (Two years) ABR		**Post NPO Update 7/200-7/2009 (Two years) SFDB**	
Total number of projects	167		220	
Range of Approvals FAR Ord. Projects Lots 15,000 sf or lower	<50 % of Max = 7 50% to 85% =40 86% to 100% =14 Over 100% =15 Total= 76 projects		<50 % of Max = 7 50% to 85% =75 86% to 100% =32 Over 100% = 1 Total= 115 projects	
Range of Approvals FAR Guideline Projects Lots greater than 15,000 sf	<50 % of Max =10 50% to 85% =47 86% to 100% =21 Over 100% =13 Total= 91 projects		<50 % of Max =16 50% to 85% =64 86% to 100% =14 Over 100% =11 Total= 105 projects	

Small Lot % Max. of FAR Patterns

Pre NPO Update 7/2003-7/2005 (Two years)
76 Pending and Approved Applications
Architectural Board of Review

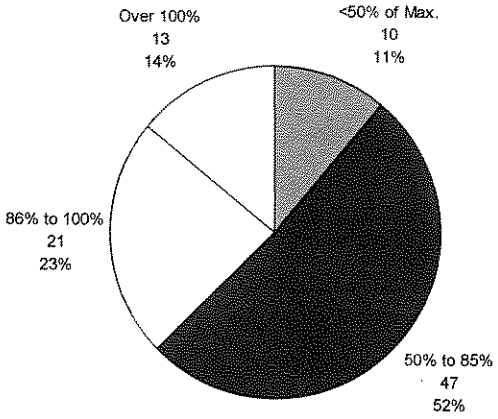


7/2007-7/2009 (Two years)
115 Pending & Approved Applications
Single Family Design Board

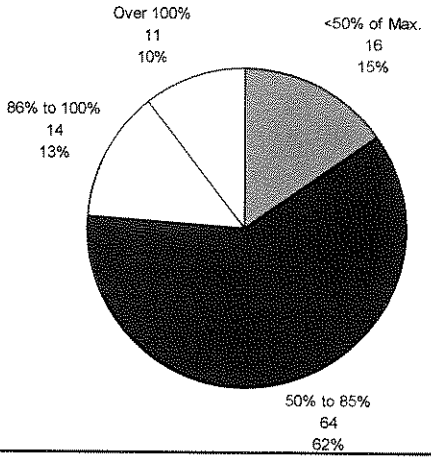


Large Lot % Max of FAR Patterns

Large Lots
7/2003-7/2005 (Two years)
91 Pending and Approved Projects
Architectural Board of Review



Large Lots
7/2007-7/2009 (Two years)
105 Pending & Approved Projects
Single Family Design Board



Staff Notes for

Neighborhood Preservation Ordinance Update
Two-Year Review
Public Workshop October 24, 2009

Attendance

Staff present: Paul Casey, Community Development Director; Bettie Weiss; City Planner; Jaime Limón; Senior Planner; Heather Baker; Project Planner; Tony Boughman; Planning Technician II

Councilmembers present: Mayor Marty Blum, Councilmember Helene Schneider

Planning Commission member present: Bruce Bartlett

Single Family Design Board (SFDB) members present: Bill Mahan, Chair, Paul Zink, Vice-Chair, Bernie Bernstein, Member

Former Neighborhood Preservation Ordinance Update Steering Committee members present: Dianne Channing (Allied Neighborhood Association Representative on the former Steering Committee), Bill Mahan, Bruce Bartlett

Public attendance per sign in sheet: 20

Total attendance (public, council, commission, board and committee members): 32

Staff Presentations

- Heather Baker, Project Planner, called the meeting to order, made staff introductions, went over the workshop agenda and explained the workshop survey handout.

- Jaime Limón, Senior Planner, presented project statistic patterns, appeal patterns, and budget constraints.

- Heather Baker, Project Planner, presented the nine proposed changes covered in the Draft Two-Year Review of the NPO Update, as well as items which the City Council directed staff to review and changes not recommended for implementation by staff and invited public comments.

Public Comments

Connie Hannah, League of Women Voters (LWV)

- An initial written letter (*attached to these meeting notes*) was submitted, but stated that more formal written public comment from the LWV is forthcoming. The LWV appreciates the solid, early report as well as the analysis and data provided regarding how many projects are over and under 85% of the maximum FAR. The charts comparing the time periods of '03 – '05 and '07 –'09 are very helpful.
- The same membership balance between professional and public at large members is not necessary for both the Architectural Board of Review (ABR) and SFDB because the work is different on the SFDB. Non-professional people can address projects. There should be two or three public members on the SFDB at all times.
- Glad to learn that the one recent project over 100% of the maximum FAR on a small lot was a project that only had a small addition to a non-conforming as to FAR home allowed by ordinance without a modification.

Naomi Kovacs, Citizens Planning Association (CPA)

- The CPA will submit a formal letter at a later date.
- Appreciates getting the report early with enough time to review it and to receive the statistical charts. The lack of recent projects over 100% of the maximum FAR on small lots is good. The charts show that the NPO is working.
- A question to staff is that if projects over 85% of the maximum FAR need to submit 20 closest homes *data*, a 20 closest homes *map* will already be produced by staff, then why not keep the *hand-delivered notice* for the 20 closest rather than the proposed 10 closest homes *hand-delivered notice* for these projects?
  (*Staff Post-Meeting Note*: The reason to keep the 10 closest homes delivery consistent for all projects requiring noticing is for simplicity in administrative practice. The less complex our regulations are, the easier they are for applicants to understand and for staff to consistently verify compliance.)
- Page numbering on the addendum for changes 7 and 7a is not consistent with the page numbering in the full report.
- Commented on administrative reviews, and Change 9 regarding reducing the number and types of projects to be reviewed, would like more information about that and asked about appeals.
- On page 22, CPA would still like to see gross square feet to measure FARs, rather than net square feet.
- Would like to see secondary unit FARs addressed in the report.
- Need clarification regarding piecemealing of loggias and other covered areas.
- Would like the issue of large visible basements to be included in the report
- Public at large membership is important on the SFDB.

Tim Harding, City-wide Homeowners Association member

- There are too many obstacles for projects proposing over 85% of the maximum FAR, additional unnecessary submittal requirements can make it seem like 85% of the maximum FAR is actually the maximum.
- 20 closest homes data is not helpful because it is not accurate and so it should not be required to be submitted.
- Rejects the idea that the 20 closest homes data can appropriately guide the growth of a neighborhood.
- Opposes the idea presented by some members of the public to include covered porches or similar features in FAR calculations.
- Questions why there should be more restrictions on basements because they do not impact neighborhoods. Why put more restrictions on what is underground?
- Feels that an FAR of .50 is a reasonable size limit, so that someone with a 6,000 square foot lot could build a 3,000 square foot home.
- Garages and carports should not be included in the FAR calculations as they are currently.

Toby Bradley, Santa Barbara Association of Realtors (SBAOR)

- Appreciates the meetings which staff held with interested groups, including the SBAOR. Her comment at the workshop is not official on behalf of the SBAOR.
- Appreciates the staff report which shows the ideas presented to staff and staff's analysis of the ideas.
- SBAOR still believes the FARs adopted are too small.
- Would like to know how many single-story versus how many two-story homes are now being built compared to prior to the NPO Update. I.e. the FAR restrictions only apply to two-story homes, so it seems likely that many people have chosen to build larger one-story homes instead, which translates to lower site permeability, undesired aesthetic effects and unintended consequences.
- Would like to see more professionals on the SFDB.
- Have received negattive feedback from applicants who have indicated that they have been directed by the SFDB to change things back and forth from one meeting to the next.

David Berry

Can we require SFDB members to visit the sites of Tea Fire projects? A number of hillside designs wedged into the hillside are not going with the topography of the areas and are not appropriate, including in the West Mountain Drive area:

- Eastern/western roof sloping architecture needs more examination.
- Inappropriate two story facades are being approved.
- Site plans being presented at the SFDB for Tea Fire projects are too small and there is not enough architectural or topographical detail visible on the plans.

Richard St. Claire

At the SFDB, neighbors to be most impacted by proposed projects (such as adjacent neighbors) should be allowed more time to speak than other members of the public.

Bettie Weiss, City Planner

Clarified that the SFDB membership is not proposed to change, that it is only the ABR membership which is proposed to be changed (from 9 to 7 members).

Berni Bernstein, Single Family Design Board member

- Appreciated everyone coming early on a Saturday to the workshop.
- Encouraged audience to view the SFDB hearings on television if they haven't been following them.
- Explained that besides being a public at large member on the SFDB, that she is also a long-time local realtor and that the SFDB is very serious about making the right decisions for our community.
- Reported that the SFDB and individual members sometimes visit project sites.
- Addressed site visits and encouraged members of the public to contact the SFDB with concerns.
- Feels that additional public at large members would be appropriate.
- Appreciates the creative solutions common among this community's architectural designs and within the SFDB comments.

<u>Workshop Adjournment</u>

- Heather Baker, Project Planner, thanked the public for participating in the workshop, asked members of the audience to turn in surveys, stated that staff would be available to answer questions and ended the workshop.

- 17 surveys were turned in at the meeting by the public, survey results are on the following page.

Survey Results Regarding NPO Two-Year Review Proposed Changes 1 - 9
Surveys Collected at 10/24/09
Public Workshop

Change 1
No notice for <150 sq.ft. 2nd story addtn.

Highest positive respone rate of all the changes.

Change 2
Reduce hand-delivered notice to 10 closest homes.

Change 3
Clarify roof alterations Design Review trigger.

Change 4
Design Review for >3.5 ft. tall front yard fence or wall.

Change 5
Staff can administratively approve retaining walls in some circumstances.

Change 6
Guidelines additions via a subcommittee.

Note low response rate, 12 out of 17.

Most controversial

Change 7
Disallow yard encroachments for uncovered parking on large lots.

Change 7A
Allow case by case SFDB waivers to allow two uncovered parking spaces.

Change 8
Clarify green building alternatives acceptable for homes over 4,000 sq. ft.

Change 9
Reduce projects subject to review per budget constraints.

Note low response rate, 12 out of 17.

LEAGUE OF WOMEN VOTERS®
OF SANTA BARBARA
328 East Carrillo Street, Suite A TEL/FAX (805) 965-2422 email: info@lwvsantabarbara.org
Santa Barbara, California 93101 www.lwvsantabarbara.org

Statement to the Single Family Design Board (SFDB) on 10-24-09

Subject: Two Year Review of the NPO Guidelines and SFD Board

I'm Connie Hannah, speaking for the Santa Barbara League of Women Voters. The League thanks you for a solid staff report that came out early for our examination. We were glad that you included some previous history on certain items, and the staff thinking about each item. We agreed with your reasoning on many issues, and don't have further questions about many of your conclusions.

As you know, the League has been particularly interested in how many houses were being built in excess of 85% of the Floor Area Ratios, and how many went over 100%. Your chart showing those comparisons with 2003 to 2005 were helpful. We were reassured that only one home on a smaller lot went over 100%, but we feel that 32 going over 85% means that many very large houses are still being built in smaller neighborhoods.

We should be considering ways to reduce that figure. One way to do so would be to put more public members on the Single Family Design Board. Since our goal was to make remodels and additions more compatible with the nearby housing, we think that public members would make excellent judgements about that. We note that the City has been trying to achieve the same balance of members on the Architectural Board of Review and the Single Family Design Board, but we don't see why you are. Their work is not the same. Obviously architects are needed to study the architectural features of new projects, but the SFDB work deals with a house's affect on its neighborhood, which is a very different subject. We think that non-professional people would be better able to judge how a house would impact its neighbors and understand their concerns.

It is also clear that on lots over 15,000 square feet, 25 out of 105 houses still were built over 85% of FAR. This is much harder to judge, since many of these lots may be huge, and the houses appropriate for the sites. We can support the reduction in the ABR, but we would recommend that the SFDB not be reduced in size when the ABR is, and that it have either 2 or 3 public members on it at all times.

Part 1 City Council Review Topics

The League has been concerned about the protection of private views, because we know that the public is always anxious for protection of their views. However, you have done a good review of previous efforts to solve this problem, and we can understand how difficult it may be to deal with this. We accept the current decision not to deal with private views, but we would ask all City representatives to remain alert to ways that other jurisdictions handle this. We know that every coastal city must have similar problems, and perhaps some of them have found ways to protect private views better.

Proposed Changes to the NPO Guidelines

Change 4 on Fences. We strongly support reducing front yard fences to 3.5 feet. All over the South Coast there are examples of neighborhoods damaged by 6 or 8 foot high front yard fences.

Change 6 on Needed Guidelines. We think it is a good idea to consider what other guidelines may be needed. We think that special attention should be given to new guidelines regarding coastal bluffs and creek areas.

Change 7 on Uncovered Parking . We support the present recommendation in cases of need. We agree that the staff should establish a trigger for Design Review and create guidelines for such review. However, we think that Second Proposal 7A is very questionable and should not be approved. Many of the arguments that you list opposing it are sound: in particular the peculiar devices that people use to shade their cars from the sun, which are often unsightly.

Proposed Change 9. We are opposed to removing any eligible projects from SFDB hearings. We think that they need to be heard by that board. Perhaps the slower economy will slow the number of projects being introduced and make that possible.

Additional Proposals

The League can support several of these proposals. We especially want to endorse keeping the current FARs and regulations for small lots. As staff points out, these were crafted after months of work, and represent the best the community could agree on. We originally wanted them to be more limiting, but we surely do not want to see them weakened at all now.

SFDB Hearings: Having had years of testifying in public meetings, the League would recommend a three minute limit on public comments, unless there are a very large number of people planning to speak, in which case it can logically be reduced to two minutes. This is the normal procedure in many jurisdictions, and widely accepted. If an argument is fairly complicated, it can be very hard to explain in two minutes, even for very experienced speakers.

Modifications: We would like to recommend a trial period of two years, during which time any rejected modifications can be appealed to the Planning Commission. During these years the Commission caseload will not be as heavy as usual because of the downturn in the economy, and it would give them a chance to see what modifications are being sought, and whether they have a broader or precedent setting effect.

Agenda Item No._____

File Code No. 630.01

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: Environmental Services, Finance Department

SUBJECT: Voter Survey Regarding Single-Use Bag Tax

RECOMMENDATION:

That Council consider the recommendation from the Solid Waste Committee to conduct a voter survey about a possible tax on single-use paper and plastic bags applicable to retail establishments over 30,000 square feet and the amount of tax that voters would be willing to pay.

EXECUTIVE SUMMARY:

Paper and plastic single-use bags have significant negative effects on the environment. The City is in the midst of a voluntary program called the "Where's Your Bag Campaign", in cooperation with local grocery stores and community organizations, to educate and encourage shoppers to use reusable bags.

Other municipalities have attempted to implement bans on plastic bags with limited success due to challenges from the plastic bag manufacturing industry. Unfortunately, these approaches either ignore or fail to recognize the environmental impacts of paper bags, which would increase in usage because of a ban on plastic bags. There have been some efforts to regulate single-use bags at the State level, which primarily included proposed bills to impose a $0.25 tax on single-use bags; however, these bills have stalled in the legislature. Staff believes it is important that any measures or programs considered include the reduction in both paper and plastic bags, and our current efforts, including the Where's Your Bag campaign, have incorporated this strategy.

At its November 5, 2009 meeting, the Council Solid Waste Committee recommended that the City commission a survey of voters about a possible tax on single-use bags applicable to retail establishments over 30,000 square feet and to determine the level of tax that voters would be willing to pay. If approved by Council, the Interim Finance Director will request proposals, select a vendor, and negotiate a scope of work to conduct a survey. It is anticipated that the cost of such a survey will not exceed $50,000. The Interim

Finance Director will return to Council for approval of a contract for conducting the survey.

DISCUSSION:

What follows is a brief background on some of the issues related to programs designed to reduce the use of Single-Use Bags.

Environmental Impacts of Single-Use Bags

The City Council, the Solid Waste Committee, and staff have discussed the environmental effects of single-use bags on several occasions over the past three years.

Disposable, single-use plastic grocery bags are made primarily from natural gas, a non-renewable resource. Billions of plastic bags become litter and find their way into the marine environment where they can choke, strangle and starve wildlife and degrade water quality and seafood supplies. And, contrary to what is a commonly-held belief by consumers, paper bags are not the answer. The manufacture of paper bags is a resource and pollution-intensive process. Moreover, most paper bags are made from virgin tree pulp, instead of post-consumer recycled content paper. The average person uses over 500 paper and plastic bags per year and only a small percentage of each type of bag is recycled.

Single-use compostable bags are an option currently being considered by some localities. However, compostable bags have several drawbacks as well, including: 1) the use of manufacturing resources, 2) the potential for “flyaway” pollution in land and marine environments, 3) the lack of residential composting programs, 4) contamination of recycling loads, and 5) contributing to greenhouse gas emissions from the landfill.

There is a strong consensus among experts that the best alternative for the environment is a reusable bag. One reusable bag can eliminate thousands of single-use bags over its lifetime.

City’s Voluntary Program

While single-use bags are clearly detrimental to the environment, in 2007 the Solid Waste Committee approved postponing any City efforts to ban bags so that staff could focus its efforts and resources on more pressing issues and initiatives that would have a significant impact on solid waste diversion from landfills, which is the Environmental Services Division’s primary mission.

In September 2008, staff shared a new strategy with Council. The new approach, developed in consultation with members of the community including representatives

from Santa Barbara Channelkeeper and Choose to Reuse, would utilize volunteer staffing and community financial resources, in an effort to minimize the fiscal and workload impacts to the City's Environmental Services Division.

The new strategy includes:

- A Voluntary In-Store Educational Program,
- An Educational/Outreach Program for the Public, and
- Evaluating options for an ordinance mandating that stores take certain bag reduction measures.

The new strategy was refined with input from the Solid Waste Committee, from the community through two stakeholder meetings, and from local partners including Santa Barbara Channelkeeper, Choose to Reuse, Tri-County Produce, and the California Grocer's Association. City staff provides direction and supervision to the program.

The City's resulting "Where's Your Bag" campaign, which officially launched on August 28, 2009 in De la Guerra Plaza, is a comprehensive voluntary single-use bag reduction program designed to encourage people to bring reusable bags whenever they shop. The campaign works with participating stores to help them educate their shoppers. Participating stores include Albertson's, Foodland, Lazy Acres, Ralph's, Santa Cruz Markets, Scolari's, Tri-County Produce, and Vons. The campaign supplies these stores with educational materials, signs, and reusable bags. The campaign also produces media releases to educate the community about single-use bags. Participating organizations and stores have donated more than $18,000 in cash donations, and over $15,000 of in-kind services such as staff and volunteer time, a significant number of reusable bags and related contributions toward the campaign. An ordinance is still under consideration, pending the full implementation of the voluntary program.

<u>Status of Bans on Single-Use Bags</u>

A number of California municipalities have adopted ordinances prohibiting the distribution of plastic bags. These include San Francisco, Oakland, Los Angeles City and County, Fairfax, Malibu, Manhattan Beach, and Malibu. A coalition of plastic bag manufacturers has successfully sued some of the municipalities that have adopted plastic bag bans. The suits claimed the ordinances were "projects" subject to CEQA review, requiring municipalities to spend time and money on the environmental impacts of such regulatory approaches. There is an effort underway to create a Master Environmental Assessment (MEA) on single-use bags and reusable bags to provide the necessary background information for California municipalities to be able to comply with CEQA requirements. In the meantime, some recent plastic bag bans are being accomplished through voter initiatives, which are exempt from the requirements of CEQA.

Status of State Regulation of Single-Use Bags

Assembly Bill 2449 (Levine), passed into law in 2006, requires large stores and pharmacies to establish an in-store recycling program for clean plastic carryout bags and provide customers with the option of purchasing reusable bags, among other things. AB 2449 generally prohibits local governments from requiring additional reporting on the use of plastic bags from a covered store, or from imposing a plastic bag fee upon a store. However, the City Attorney's Office believes this would probably not prohibit a voter-approved tax on consumers using such plastic or paper bags.

Nonetheless, based on the experiences of other municipalities (see above) staff believes that it is likely that the American Chemistry Council (which represents plastic bag manufacturers) might attempt to challenge a City tax on single-use bags . They recently spent in excess of $1 million in opposition to a ballot measure that would have imposed a $0.20 tax on plastic and paper bags in the City of Seattle. The measure was defeated.

The State legislature also recently considered two bills that would put a $0.25 fee on paper and plastic bags, AB 68 (Brownley) and AB 87 (Davis), which stalled in the legislature. The bills were very similar to AB 2058/2769 (Levine) from the prior legislative session, which also stalled.

The League of California Cities Environmental Quality Policy Committee has adopted several state-level legislative Policy Principles related to Single-Use Carryout Bags (attached).

Survey of City Voters

At its meeting of November 5, 2009, the Solid Waste Committee recommended that the City commission a survey of voters about a possible City tax on single-use bags applicable to retail establishments over 30,000 square feet and the amount of such a tax.

If approved, the Interim Finance Director will request proposals, select a vendor and negotiate a scope of work to conduct a survey. Topics for the survey might include voter support for a tax on such bags, the level of tax that voters would support, the level of combined City taxes and fees voters would support if the State also imposed a tax or fee on such bags, and the relative support for a tax versus a ban on single-use bags, among other things. The Interim Finance Director will return to Council for approval of a contract for conducting the survey.

BUDGET/FINANCIAL INFORMATION:

A tax on single-use bags has the potential to generate income for the City, the amount of which would depend upon the level of the tax and any increases in consumer use of

reusable bags. Whether a tax would be a general tax or a special tax, used for a particular purpose, would need to be part of the decision making process. A general tax would require a simple majority approval of voters; while a tax that is designated for a specific purpose would require a two-thirds approval.

Based on similar surveys conducted by other municipalities, staff estimates that the cost of conducting the survey will not exceed $50,000. If approved, staff will request appropriation authority to cover the cost out of the Solid Waste Fund when staff returns to City Council to request approval of a contract.

SUSTAINABILITY IMPACT:

A single-use bag tax has the potential to reduce the environmental impacts related to the manufacture and disposal of single-use bags by increasing consumer use of reusable bags.

ATTACHMENT: League Policy Principles for Single-Use Carryout Bags

PREPARED BY: Kristine Schmidt, Acting Environmental Services Manager
Stephen MacIntosh, Environmental Services Supervisor

SUBMITTED BY: Robert Samario, Interim Finance Director

APPROVED BY: City Administrator's Office

ATTACHMENT

League of California Cities
League Policy Principles for Single-Use Carryout Bags
(Environmental Quality Policy Committee)

1) The League supports in concept legislation that charges a fee for all consumers for single-use carryout bags at the point of sale, however, the League does not have a position on the amount of the fee except that it should be set to modify consumer behavior.

2) Cities should be eligible for moneys generated from any fee placed upon single-use carryout bags, provided those dollars are used by the City of mitigate the effects of single-use carryout bags on the storm water, solid waste diversion, visitor education and awareness, and water quality in the city.

3) Any application for funding provided to Cities by single-use carryout bag fees should be streamlined, simple and not overly burdensome.

4) We support CEQA exemptions for single-use carryout bag bans (or a programmatic EIR by the CIWMB).

5) The League opposes any bill that would preempt local governments from individually banning or placing a fee on single-use carryout bags distributed within the city.

Agenda Item No._____

File Code No. 250.02

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: Accounting Division, Finance Department

SUBJECT: Comprehensive Annual Financial Report (CAFR) For The Fiscal Year Ended June 30, 2009

RECOMMENDATION: That Council:

A. Receive a report from staff on the Comprehensive Annual Financial Report for the fiscal year ended June 30, 2009; and

B. Accept the Comprehensive Annual Financial Report for the fiscal year ended June 30, 2009.

DISCUSSION:

Pursuant to City Charter, Finance Department staff has prepared the City's annual financial statements for the fiscal year ended June 30, 2009. The basic financial statements have been expanded, as they are each year, to include other required information and elements needed to be considered for an award for excellence in financial reporting from the Government Finance Officer's Association (GFOA). As such, the statements are referred to collectively as a "Comprehensive Annual Financial Report" (CAFR).

The financial statements were audited by the independent public accounting firm of Caporicci & Larson, Certified Public Accountants, whose unqualified opinion is included within the financial section of the report. An unqualified opinion indicates that the financial statements present fairly the financial position of the City of Santa Barbara as of June 30, 2009, and the results of operations in accordance with generally accepted accounting principles. As part of the audit, the audit firm also reviewed and performed tests of the City's internal accounting control procedures to determine if there are any material weaknesses or instances of non-compliance. Based on the audit, no instances of non-compliance or material weaknesses were noted.

The CAFR is divided into three (3) major sections: the introductory section, the financial section, and the statistical section. The introductory section includes the letter of transmittal, a directory of City officials, and an organization chart. The financial section

includes the independent auditors' report (as noted above), management's discussion and analysis (MD&A), and the financial statements, including notes. The statistical section includes financial trend information as well as demographic information about the City.

The City reports its financial statements using Governmental Accounting Standards Board Statement No. 34 (GASB 34). The intent of GASB 34 is to move governmental accounting and reporting closer to that of the private sector so that readers can assess the financial health of the City at the end of the year, and determine whether the City's financial condition is improving or deteriorating over time.

The MD&A contains detailed discussion and analysis of the financial information contained in the report, at both the city-wide level and fund level. It includes explanations of revenues, expenses and year-end balances of assets and liabilities. It also provides a comparative analysis to prior year results. The purpose of the MD&A is to assist readers of the financial statements with their understanding and assessment of the financial condition of the City as a whole.

The Government-wide financial statements, present a higher level of reporting by consolidating all funds of the City into one of two categories: Business-Type Activities or Government-Type Activities. In addition, the government-wide statements present all activities on an accrual basis of accounting, similar to what is used in the private sector. The purpose of the statements is to allow readers to assess the financial condition of the City as a whole in the same manner that they would be able to assess the financial condition of private sector entities.

The government-wide statements include a Statement of Net Assets, which reports all assets and liabilities of the City, with the difference being net assets, and a Statement of Activities that presents revenues and expenses and the net change in net assets during the year. They also include all infrastructure assets, (including roads, sidewalks, curbs & gutters, storm drains, street lights, bridges, traffic signals, water pipes, sewer pipes, and other similar assets), and include the deterioration of these assets (represented by annual depreciation expense).

The fund financial statements and the notes to the statements are an integral part of the CAFR. They provide important information on operations, assets, liabilities, and other important information needed to assess the financial position and financial health of the City.

Staff will present the CAFR to the Finance Committee just prior to the Council's afternoon session. A representative from the auditing firm will be present to provide the Finance Committee and Council with a summary of the audit and the results thereof.

Note: Copies of the Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2009 can be found at the City Clerk's Office, the City Administrator's Office, or in the Finance Department's Office.

PREPARED BY: Rudolf J. Livingston, Accounting Manager

SUBMITTED BY: Robert Samario, Interim Finance Director

APPROVED BY: City Administrator's Office

Agenda Item No.

File Code No. 140.05

CITY OF SANTA BARBARA

COUNCIL AGENDA REPORT

AGENDA DATE: December 15, 2009

TO: Mayor and Councilmembers

FROM: City Clerk's Office, Administrative Services Department

SUBJECT: Appointments To City Advisory Groups

RECOMMENDATION:

That Council make appointments to the City advisory groups.

DISCUSSION:

There are 55 positions available for appointment to various City advisory groups. On November 10, November 17, and November 24, 2009, the Council interviewed applicants for these positions.

An additional interview opportunity for applicants to the Community Development and Human Services Committee, and the Franklin Center, Lower Westside Center and Westside Center Advisory Committees was scheduled on November 12, 2009, by the Council Subcommittee, comprised of Councilmembers Roger Horton, Grant House and Helene Schneider. None of the applicants appeared for an interview.

The Guidelines for the City of Santa Barbara Advisory Groups, Resolution No. 06-092, states that applicants are required to appear for an interview before the City Council. The names of applicants failing to appear for an interview are removed from the list of persons eligible for appointment. A list of applicants eligible for appointment is attached. With the exception of the Housing Authority Commission, appointments for the advisory groups will be effective January 1, 2010. The appointment for the Housing Authority Commission will be effective on February 16, 2010.

ATTACHMENT: List of Eligible Applicants

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

SUBMITTED BY: Marcelo A. López, Administrative Services Director

APPROVED BY: City Administrator's Office

ACCESS ADVISORY COMMITTEE

- One vacancy.
- Term expires 12/31/2011.
- Resident of the City or a full-time employee of an entity doing business within the City who demonstrates an interest, experience, and commitment to issues pertaining to disability and access and who represents the Disability Community.
- Appointee may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Disability Community (1)	Ken McLellan			

AIRPORT COMMISSION

- Two vacancies.
- Terms expire 12/31/2013
- Qualified electors of the City or residents of the County of Santa Barbara.
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Qualified Electors or residents of the County (2)	Chris Colbert			Qualified Elector
	William Gilbert			County

ARCHITECTURAL BOARD OF REVIEW

- One vacancy.
- Term expires 12/31/2013.
- Qualified elector of the City or a registered voter within the County of Santa Barbara who possesses professional experience in related fields including, but not limited to, landscape architecture, building design, structural engineering or industrial design.
- Appointee may not hold any full-time paid office or employment in City government.

NOTE: The category of Landscape Architect has been incorporated into the Professional Qualifications category as approved by the voters of the November 3, 2009, General Municipal Election.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Professional Qualifications (1)	Chris Gilliland	12/16/2008 (1 year)		Current Incumbent for Landscape Architect category; Qualified Elector
	Gary Mosel	12/13/05 (4 years)		Current Incumbent for Public at Large category; Qualified Elector
	Keith Nolan			Architect; County

ARTS ADVISORY COMMITTEE

- Four vacancies.
- Terms expire 12/31/2013.
- One qualified elector of the City; and
  Three residents of the south coast area of Santa Barbara County.
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Qualified Elector (1)	None			
South Coast Area (3)	Roman Baratiak			County
	Phyllis de Picciotto	2/26/02 & 12/13/06 (7 years, 10 months)		County
	Suzanne Fairly-Green	12/13/05 (4 years)		Qualified elector

CENTRAL COAST COMMISSION FOR SENIOR CITIZENS

- One vacancy.
- Term expires 6/30/2011.
- Resident of the City.
- Appointee may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Resident of the City (1)	None			

CIVIL SERVICE COMMISSION

- One vacancy.
- Term expires 12/31/2013.
- Qualified elector of the City.
- Appointee may not hold any full-time paid office or employment in City government and, for 1 year after ceasing to be a member, may not be eligible for any salaried office or employment with the City.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Qualified Elector (1)	Kathryn McKee	12/13/05 (4 years)		

COMMUNITY DEVELOPMENT AND HUMAN SERVICES COMMITTEE

- Six vacancies.
- One term expires 12/31/2010;
  One term expires 12/31/2011;
  One term expires 12/31/2012; and
  Three terms expire 12/31/2013.
- Residents or employees within the City but need not be qualified electors of the City. One representative from each:
  - African American Community
  - Business Community/Economic Development
  - Downtown Neighborhood (Census Tract 9)
  - Housing Interests
  - Human Services Agency
  - Senior Community
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
African American Community (1)	None			
Business Community/Economic Development (1)	Laura Knight	7/11/06 (3 years, 5 months)		
Downtown Neighborhood (1)	None			
Housing Interests (1)	None			

(Cont'd)

COMMUNITY DEVELOPMENT AND HUMAN SERVICES COMMITTEE (CONT'D)

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Human Services Agency (1)	None			
Senior Community (1)	None			

CREEKS ADVISORY COMMITTEE

- One vacancy.
- Term expires 12/31/2011.
- Resident of the City or the County with some experience in ocean use, business, environmental issues, and/or provide community at large representation.
- Appointee may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Experience in ocean use, business, or environmental issues, and/or represents the community at large (1)	Kathleen "Betsy" Weber			

DOWNTOWN PARKING COMMITTEE

- Two vacancies.
- Terms expire 12/31/2013.
- Residents of the City or the County of Santa Barbara.
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Residents of the City or the County (2)	Randy Rowse	12/7/04 & 12/13/05 (5 years)		City

FIRE AND POLICE COMMISSION

- Two vacancies.
- One term expires 12/31/2011; and
  One term expires 12/31/2013.
- Qualified electors of the City.
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Qualified Electors (2)	Frank Bañales			
	Jennifer Christensen			
	Robert Handy			
	Patrick Lennon, Jr.	12/13/05 (4 years)		
	Bill Medel			

FIRE AND POLICE PENSION COMMISSION

- Three vacancies.
- Two terms expire 12/31/2012; and
  One term expires 12/31/2013.
- One qualified elector of the City who is not an active firefighters or an active police officers for the City of Santa Barbara;
  One active or retired firefighter who need not be a resident or qualified elector of the City; and
  One active or retired police officer who need not be a resident or qualified elector of the City.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Qualified Elector (1)	None			
Active/Retired Firefighter (1)	None			
Active/Retired Police Officer (1)	None			

FRANKLIN CENTER ADVISORY COMMITTEE

- Three vacancies.
- One term expires 12/31/2010; and
  Two terms expire 12/31/2013.
- Members are not required to be qualified electors of the City:
  - One resident or employee within the Franklin Neighborhood (Census Tract Nos. 8.01, 8.02 or 9)
  - Two residents of the City who represent the public at large
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Resident/Employee in the Franklin Neighborhood (1)	None			
Residents of the City who represent the public at large (2)	Sebastian Aldana, Jr.	12/28/07 (2 years)		
	Sharon Byrne			

HARBOR COMMISSION

- Three vacancies.
- Terms expire 12/31/2013.
- Two qualified electors of the City; and
  One qualified elector of the City or a registered voter within the County of Santa Barbara.
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Qualified Electors (2)	Eric Friedman			Current Library Board Member; term expires 12/31/10
	Jim Sloan			
Qualified Elector or Registered Voter for the County of Santa Barbara (1)				

HISTORIC LANDMARKS COMMISSION

- Two vacancies.
- Terms expire 12/31/2013.
- One appointee must be a qualified elector of the City and one appointee may be a resident of the County of Santa Barbara: Licensed architects/licensed landscape architects/professional architectural historians or representatives of the public at large.
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Architect, Landscape Architect, Professional Architectural Historian or may represent the public at large (2)	Louise Boucher	12/13/05 (4 years)		Public at large – Qualified Elector
	William (Bill) LaVoie			Architect - County
	Tom Ochsner			Architect – Qualified Elector
	Philip Suding			Landscape Architect – Qualified Elector
	Justin Van Mullem			Professional Architectural Historian – Qualified Elector

HOUSING AUTHORITY COMMISSION

- One vacancy.
- Term expires 2/15/2012 (Term effective 2/16/10).
- Senior tenant (62 years of age or older) who is receiving housing assistance from the Housing Authority of the City of Santa Barbara.
- Appointee may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Senior Tenant (1)	Stanley Eisele	12/18/07 (2 years)		

LIBRARY BOARD

- One vacancy.
- Term expires 12/31/2013.
- Qualified elector of the City.
- Appointee may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Qualified Elector (1)	None			

LIVING WAGE ADVISORY COMMITTEE

- Four vacancies.
- One term expires 6/30/2010;
  Two terms expire 6/30/2012; and
  One term expires 6/30/2013.
- One representative from each:
  - Local Living Wage Advocacy Organization
  - Non-Profit Entity
  - Owner or manager of a business operating within the City
  - Santa Barbara Chamber of Commerce
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Local Living Wage Advocacy Organization (1)	None			
Non-Profit Entity (1)	None			
Owner/Manager of a business operating within the City (1)	Gabe Dominocielo			Also eligible for the Non-Profit Entity category
Santa Barbara Chamber of Commerce (1)	None			

LOWER WESTSIDE CENTER ADVISORY COMMITTEE

- Two vacancies.
- Terms expire 12/31/2013.
- Members are not required to be qualified electors of the City: Residents of the City who represent the public at large.
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Residents of the City who represent the public at large (2)	Paul Contreras	12/16/08 (1 year)		

MEASURE P COMMITTEE

- Five vacancies.
- One term expires 12/31/2011;
  Two terms expire 12/31/2012; and
  Two terms expire 12/31/2013.
- One representative each as follows:
  - Civil liberties advocate
  - Criminal defense attorney
  - Medical Marijuana Patient (Census Tract 9)
  - Medical Professional
  - Resident of the City
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Civil Liberties Advocate (1)	None			
Criminal Defense Attorney (1)	None			
Medical Marijuana Patient (1)	Gary Buffington			
Medical Professional (1)	None			
Resident of the City (1)	None			

PARKS AND RECREATION COMMISSION

- Three vacancies.
- Terms expire 12/31/2013.
- Qualified electors of the City.
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Qualified Electors (3)	Chris Casebeer			
	Lesley Wiscomb			

PLANNING COMMISSION

- Two vacancies.
- Terms expire 12/31/2013.
- Qualified electors of the City.
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Qualified Electors (2)	Bob Cunningham			
	Michael Jordan			Current Creeks Advisory Committee member; term expires 12/31/2010
	Chava Riley			
	Deborah L. Schwartz			
	Addison Thompson	12/13/05 (4 years)		

RENTAL HOUSING MEDIATION TASK FORCE

- Four vacancies.
- One term expires 12/31/2012; and
  Three terms expire 12/31/2013.
- Two appointees must be residents of the City:
  - One homeowner
  - Two landlords
  - One tenant

  * Non-resident members must be owners of residential rental property within the City limits or affiliated with organizations concerned with landlord-tenant issues within the City limits.
- Appointees may not hold any full-time paid office or employment in City government.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Homeowner (1)	Daniel R. Herlinger	6/28/05 (4 years, 6 months)		City
Landlords (2)	None			
Tenant (1)	Lynn E. Goebel	6/30/09 (6 months)		City

WESTSIDE CENTER ADVISORY COMMITTEE

- Three vacancies.
- One term expires 12/31/2010; and
  Two terms expire 12/31/2013.
- Members are not required to be qualified electors of the City:
  - One resident or employee in the Westside Neighborhood (Census Tract Nos. 9, 10, 11.01 and 11.02)
  - Two residents of the City who represent the public at large
- Appointees may not hold any full-time paid office or employment in City government.

NOTE: Applicants for the Residents/Employees in the Westside Neighborhood category are also eligible for the Public at Large category.

CATEGORY (Number of Vacancies)	APPLICANT	Incumbent Appt. Dates (Years Served)	Applicant's Preference (1st, 2nd, 3rd, 4th)	Notes
Resident/Employee in the Westside Neighborhood (1)	None			
Residents of the City who represent the public at large (2)	None			