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

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

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

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

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

AMERICANS WITH DISABILITIES ACT: If you need auxiliary aids or services or staff assistance to attend or participate in this meeting, please contact the City Administrator's Office at 564-5305. If possible, notification at least 48 hours prior to the meeting will usually enable the City to make reasonable arrangements. Specialized services, such as sign language interpretation or documents in Braille, may require additional lead time to arrange.

TELEVISION COVERAGE: Each regular City Council meeting is broadcast live in English and Spanish on City TV Channel 18 and rebroadcast in English on Wednesdays and Thursdays at 7:00 p.m. and Saturdays at 9:00 a.m., and in Spanish on Sundays at 4:00 p.m. Each televised Council meeting is closed captioned for the hearing impaired. Check the City TV program guide at www.citytv18.com for rebroadcasts of Finance and Ordinance Committee meetings, and for any changes to the replay schedule.
REGULAR CITY COUNCIL MEETING – 2:00 P.M.

CALL TO ORDER

PLEDGE OF ALLEGIANCE

ROLL CALL

CHANGES TO THE AGENDA

PUBLIC COMMENT

CONSENT CALENDAR

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


2. Subject: Authorization To Request Correction Of Department Of Water Resources Groundwater Basin Map For The Foothill Basin (540.10)

Recommendation: That Council adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Authorizing the Public Works Director to Submit a Request to the California Department of Water Resources for a Groundwater Basin Boundary Modification for the Foothill Groundwater Basin.

3. Subject: Contract For Streets Maintenance Planning Support Services (530.04)

Recommendation: That Council authorize the Public Works Director to execute a City Professional Services contract in the amount of $100,326 with LA Consulting, Inc., for Streets Maintenance Planning Support Services, and authorize the Public Works Director to approve expenditures of up to $10,033 for extra services of LA Consulting, Inc., that may result from necessary changes in the scope of work.
CONSENT CALENDAR (CONT’D)

4. **Subject: Service Agreement With Interim Police Chief (440.03)**

   Recommendation: That Council authorize the City Administrator to execute a service agreement with John Crombach to act as Interim Police Chief, subject to Mr. Crombach's prior successful completion of a background investigation and other required pre-employment examinations.

5. **Subject: Set A Date For Public Hearing Regarding Appeal Of Architectural Board Of Review Approval For 1818 Castillo Street (640.07)**

   Recommendation: That Council:
   
   **A.** Set the date of March 8, 2016, at 2:00 p.m. for hearing the appeal filed by Eric and Elenor Wernicke of the Architectural Board of Review's project design approval of an application for property owned by DB Partners and located at 1818 Castillo Street, Assessor's Parcel No. 027-012-023, R-4 Hotel-Motel-Multiple Residential Zone, General Plan Designation: Residential (15-27 dwelling units/acre). The project proposes the demolition of existing buildings and the construction of a two-unit, two-story duplex and a five-unit two- and partial three-story residential apartment building under the Average Unit Size Density Incentive Program. The seven-unit project will comprise 2 two-bedroom units and 5 three-bedroom units totaling 6,609 square feet. The 12,656 square-foot parcel is designated as Medium-High Density with a maximum average density allowed of 945 square feet per unit; the average unit size for this project will be 944 square feet. There will be eight uncovered parking spaces, including one accessible parking space between the two proposed buildings along the southerly property line; and
   
   **B.** Set the date of March 7, 2016, at 1:30 p.m. for a site visit to the property located at 1818 Castillo Street.

NOTICES

6. The City Clerk has on Thursday, February 4, 2016, 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 City Council meeting of February 16, 2016.

This concludes the Consent Calendar.
CITY COUNCIL ADMINISTRATIVE AND ATTORNEY REPORTS

COMMUNITY DEVELOPMENT DEPARTMENT

8. Subject: Amendment To The Noise Ordinance Defining Noise Disturbance And Administrative Citations For Violations (640.09)


PUBLIC WORKS DEPARTMENT

9. Subject: Contract For Storage Of Pass-Through Water In Lake Cachuma (540.10)

Recommendation: That Council authorize the Public Works Director to negotiate and execute a Warren Act contract with the U.S. Bureau of Reclamation, in a form approved by the City Attorney, to provide for the storage and conveyance of a portion of the City's Gibraltar Reservoir water as non-project water in and through Cachuma Project facilities, pursuant to the provisions of the 1989 Upper Santa Ynez River Operations Agreement.

COUNCIL AND STAFF COMMUNICATIONS

COUNCILMEMBER COMMITTEE ASSIGNMENT REPORTS

PUBLIC COMMENT (IF NECESSARY)

CLOSED SESSIONS

10. Subject: Conference With City Attorney - Existing And Anticipated Litigation (160.03)

Recommendation: That Council:
A. Hold a closed session to confer with the City Attorney regarding existing litigation pursuant to Government Code section 54956.9(d)(1), and take appropriate action as needed.

The existing litigation is:
• Ron Bochner v. City of Santa Barbara, SBSC Case No. 15CV02939

(Cont'd)
CLOSED SESSIONS (CONT’D)

10.  (Cont’d)

- Linda Curtiss v. City of Santa Barbara, et al., SBSC Case No. 15CV00345
- Debra A. Corral, et al. v. City of Santa Barbara, SBSC Case No. 1466439; Related to Case No. 1343636
- Patricia Dzukola v. City of Santa Barbara, SBSC Case No. 15CV04677
- Nestor Galvan v. City of Santa Barbara, et al., SBSC Case No. 15CV00968
- Susan Guerguy v. City of Santa Barbara, SBSC Case No. 15CV04677
- Silbia Limon v. City of Santa Barbara, et al., SBSC Case No. 15CV00135
- Trevor Martinson, et al. v. City of Santa Barbara, et al., SBSC Case No. 15CV044465
- Lizette Padilla-Lee v. Lux; Lux v. City of Santa Barbara, SBSC Case No. 1486999
- Toni M. Reyes v. City of Santa Barbara, et al., SBSC Case No. 1416050
- Andrew Furst v. City of Santa Barbara, et al., USDC Case No. 5:15-CV-02428 VAP(SPx)
- Jesus Reyes Herrera v. City of Santa Barbara, et al., USDC Case No. 2:15-CV-08402 DMG(PLAx)
- Travis Middleton v. Santa Barbara Police Department, et al., USDC Case No. CV15-09818 SVW(AGR)
- Home on Wheels, et al. v. City of Santa Barbara, COA Case No. 2656630
- Rolland Jacks v. City of Santa Barbara, et al., COA Case No. B253474
- Passion Moore v. City of Santa Barbara, et al., COA Case No. 15-55316
- Jun Yang v. City of Santa Barbara, COA Case No. B267587
- City of Santa Barbara v. Virginia Castagnola, et al., SBSC Case No. 1469840

B. Hold a closed session to confer with the City Attorney regarding anticipated litigation pursuant to Government Code section 54956.9(d)(2)&(3), and take appropriate action as needed.

The anticipated litigation is based upon:

- Significant exposure to litigation arising out of the tort claim of David Anduri, Sr.
- Significant exposure to litigation arising out of the claim of Kendra L. Feshbach
- Significant exposure to litigation arising out of the claim of Jennifer McKenzie

(Cont’d)
CLOSED SESSIONS (CONT’D)

10. (Cont’d)

C. Hold a closed session to confer with the City Attorney regarding anticipated litigation pursuant to Government Code section 54956.9(d)(2)&(e)(2), and take appropriate action as needed.

The anticipated litigation is based upon:
- Significant exposure to litigation arising out of water main break related damage to U.S. Route 101.
  Scheduling: Duration, 60 minutes; anytime
  Report: None anticipated

ADJOURNMENT
AGENDA DATE: February 9, 2016

TO: Mayor and Councilmembers

FROM: City Clerk’s Office, Administrative Services Department


RECOMMENDATION:


DISCUSSION:

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

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

PREPARED BY: Susan Tschech, Deputy City Clerk

SUBMITTED BY: Kristine Schmidt, 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. 14-006

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. 14-006 on February 11, 2014;

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

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

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


SECTION 2. Resolution No. 14-006 is rescinded.
# CITY OF SANTA BARBARA
## RECORDS MANAGEMENT POLICIES AND PROCEDURES MANUAL

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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. Moreover, unauthorized destruction of public records can be a crime in some circumstances.

The policies, procedures, and retention and disposition schedules in this manual apply to all record formats, except including 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. Following are special considerations related to electronic records: 1) If an electronic record has been printed in paper format, the paper copy is considered the official copy of that particular record; 2) If and when the City installs a “trustworthy system” for the retention of electronic records, the electronic format of a record can then be considered the official copy of that particular record, and any paper copy may be destroyed.

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.

Approved by Resolution No. 14-00616-, Adopted on February 119, 20142016
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. Records are created in a variety of physical formats including paper, and photographic and electronic media.

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, including those records that are maintained solely electronically, 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.

Approved by Resolution No. 14.0616-, Adopted on February 119, 20142016
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.

Approved by Resolution No. 14-00616, Adopted on February 119, 20142016
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.

Approved by Resolution No. 14-00616-. Adopted on February 119, 20142016
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.

Approved by Resolution No. 14-00616-, Adopted on February 119, 20142016
1.8. DEFINITIONS

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

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

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

**Chronological Files.** Material filed in chronological order.

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

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

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

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

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

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

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

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

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

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

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

**Record Copy.** The record copy is the principal copy of any letter or document.
**Records.** Records generally consist of all recorded information, regardless of media or characteristics. Records are created in a variety of physical formats including paper, and photographic and electronic media.

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

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

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

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

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

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

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

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

**Vital Records.** Records that are essential to resume or continue operations; records necessary to recreate the City of Santa Barbara's legal and financial position; and records necessary to preserve the rights of its personnel and residents.
CITY OF SANTA BARBARA, CA
RECORDS COMMON TO MOST OFFICES

The recommended retention periods in these schedules apply to records series maintained in governmental offices in the City of Santa Barbara, California (the City). The first schedule covers records which are not unique to a particular office and are found in many offices throughout the City. The remaining schedules pertain to the program records for each City department or division. Each entry below constitutes a separate records series with a particular retention period and disposition instructions. Schedules also identify the City’s vital records. A list of definitions for terms used throughout is attached. If no legal retention authority is cited, retention period is based on standard records management practice and experience of History Associates Incorporated.

1. Affidavits of Publication of Ordinances and Legal Notices
Notarized certificates and newspaper clippings attesting to the publication of legal notices.

(a) Publication of Ordinances. **Disposition:** Permanent; photocopy clipping and retain with certificates. (California Government Code (GC) 40806)

(b) All others. **Disposition:** Place with related project file and dispose of accordingly. If no project file exists, retain 3 years. (GC 34090.7)

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

(a) Record copy in the City Clerk’s Office. **Disposition:** Retain one copy permanently.

(b) All other copies. **Disposition:** Discard after meeting.

3. Audiovisual Materials

(a) Audio or video recordings of meetings.
   (1) Audio or video recordings for which no written minutes are prepared. **Disposition:** Permanent.
   (2) Audio or video recordings for which official written minutes are prepared. **Disposition:** May erase/discard after 30 days (GC 54953.5), but retain no longer than 2 years.

(b) Promotional and public relations tapes concerning Santa Barbara. **Disposition:** May erase/discard after 2 years.

(c) Motivational and training audiotapes purchased for use by City personnel. **Disposition:** Retain as long as administratively needed.
4. Bids and Proposals, Bid Awards

(a) Successful and unsuccessful bids and proposals for awards and contracts under $25,000.00. Record copy is in Finance Department, General Services Division. Disposition: Retain 1 year after opening of bids or ordering of products/services. (Santa Barbara Municipal Code (SBMC) 4.52.040)

(b) Successful bids and proposals for awards and contracts over $25,000.00.
   (1) Record copy is in Finance Department, General Services Division. Disposition: Discard 10 years after completion of project. (California Code of Civil Procedure (CCP) 337.15)
   (2) Departmental copies. Disposition: Retain with related bid award or contract file and dispose of accordingly.

(c) Unsuccessful bids and proposals for awards and contracts over $25,000.00. Disposition: Discard after 5 years. (GC 26202.1)

(d) Unopened Bids. Disposition: Return to bidder after award.

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

(a) Record copy in the Finance Department. Disposition: Retain 5 years after the fiscal year to which the records relate, per Finance Department policy. (GC 34090)

(b) All other copies. Disposition: Discard after 2 years, per Finance Department policy. (GC 34090.7)

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

7. Complaints

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

(b) Complaints that become part of a subsequent Board of Appeals, Adjustment, or Planning case file.
   (1) Record copy in the City/County Planning Office. Disposition: Retain with related case file and dispose of accordingly.
   (2) All other copies. Disposition: Retain for 2 years. (GC 34090.7)

Approved by Resolution No. 16-, Adopted on February 9, 2016
(c) Complaints relating to environmental violations.
   (1) Record copy in the Public Works Department, Engineering Division, Environmental
   Programs Section. Current files are vital records. **Disposition:** *Discard 5 years after final action.* (California Public Utilities Commission (CA PUC) Resolution #A-4691 and GC 25105.5)
   (2) All other copies. **Disposition:** *Retain 2 years.* (GC 34090.7)

(d) Complaints relating to city improvements.
   (1) Record copy in the Public Works Department, Streets, Parking, and Transportation Operations Divisions. **Disposition:** *Discard 10 years after the complaint is resolved.* (CCP 337.15)
   (2) All other copies. **Disposition:** *Retain 2 years.* (GC 34090.7)

8. **Contracts and Agreements**

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

(a) Contracts and agreements approved by the City Council.
   (1) Record copy is in Administrative Services Department, City Clerk’s Office. **Disposition:** *Retain 15 years after termination or completion and final payment.* (CCP 337.15)
   (2) All other copies. **Disposition:** *Discard upon termination or completion and final payment.*

(b) Contracts and agreements not requiring City Council approval.
   (1) Record copy is in originating department. **Disposition:** *Retain until termination or completion and final payment plus 5 years.* (41 CFR 105-71.142 and California Government Code (GC) 34090)
   (2) All other copies. **Disposition:** *Discard upon termination or completion and final payment.*

(c) Routine procurement records including legal notices, affidavits of publication, certificates of insurance, surety bonds, requests for proposals, proposals, technical specifications, reports, correspondence, and similar records relating to the negotiation, administration, renewal, and termination of contracts and agreements to which the City is a party. Active records are vital.
   (1) Procurement records related to contracts and agreements approved by the City Council.
      (a) Record copies are retained with record copy of contract or agreement in Administrative Services Department, City Clerk’s Office. **Disposition:** *Retain 15 years after termination or completion and final payment.* (CCP 337.15)
(b) All other copies. **Disposition**: Discard upon termination or completion and final payment.

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

9. **Correspondence**

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

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

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

10. **Council Packets**

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

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

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

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

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

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

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

14. General Administrative Files
Records relating to the internal management or general administration of a department rather than to the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of reports and correspondence officially filed elsewhere, copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels), and other materials that do not serve as unique documentation of the programs of the office. **Disposition:** *Discard when 2 years old or sooner if purpose is served.*

15. Insurance Policies
Liability, theft, fire, accident, health, life, and other policies for City property and personnel, including supporting documentation regarding implementation, modification, or replacement of policies. Record copy is in the Finance Department, Risk Management Office, or Administrative Services Department, Human Resources Office.
(a) Record copy in the Finance Department, Risk Management Office, or Administrative Services Department, Human Resources Office. **Disposition:** Permanent. (CCP 337 and California Insurance Code (CIC) 10508.5)

(b) All other copies. **Disposition:** Discard when policy expires or is superseded.

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

(a) Leases approved by the City Council and associated documents.
   (1) Record copy of leases approved by the City Council and associated documents is in Administrative Services Department, City Clerk's Office. **Disposition:** Retain for life of lease plus 4 years; then discard. (CCP 337.2)
   (2) All other copies of leases approved by the City Council and associated documents. **Disposition:** Retain for life of lease plus 2 years; then discard. (GC 34090.7)

(b) Leases not requiring City Council approval and associated documents.
   (1) Record copy of leases not requiring City Council approval and associated documents is in originating department. **Disposition:** Retain for life of lease plus 4 years; then discard. (CCP 337.2)
   (2) All other copies of leases not requiring City Council approval and associated documents. **Disposition:** Retain for life of lease plus 2 years; then discard. (GC 34090.7)

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

(a) Record copy in City Clerk’s Office. **Disposition:** Permanent

(b) Library use copies. **Disposition:** Permanent (GC 50115)

(c) Departmental record copy maintained by originating department. **Disposition:** Retain 25 years.

(d) All other copies. **Disposition:** Discard when no longer needed for reference.

18. **Membership in Associations, Societies, and Committees**
(a) Records documenting participation by City Staff on external governmental and professional committees in 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,
not in an official capacity as a City representative. Includes correspondence, copies of
speeches, newsletters, copies of minutes, and miscellaneous materials. If membership is
paid for with City funds, these are City records; if membership is paid for by employee,
they are personal papers. **Disposition:** Discard when 3 years old or when no longer
needed for reference, whichever is sooner. (GC 34090)

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

(a) Departmental copies. **Disposition:** Discard after separation, transfer, or termination of
employee.

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

20. Personnel Recruitment Files

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

(b) Resumes of prospective employees and personnel recruitment material.
(1) Materials of unsuccessful applicants. **Disposition:** Discard 3 years after receipt.
(GC 12946)
(2) Materials of applicants who are hired. **Disposition:** Retain in employee personnel
file. See item 19, Personnel Files, for explanation.

21. Policy and Procedure Files
Consists of manuals, directives, handbooks, and other formal policy and procedural issuances.

(a) Formal issuances created by department or division for which the policy or procedure is a
program function.
(1) Master set. **Disposition:** Permanent
(2) Use copies and extra copies. **Disposition:** Retain until superseded.

(b) Copies of City operating policies and procedures used for reference. **Disposition:
Discard when obsolete or superseded.**

Approved by Resolution No. 16-, Adopted on February 9, 2016
22. Publications

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

Originating department forwards four copies to the City Clerk’s Office, which sends one copy to the California State Library, one 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)
4. All other copies. Disposition: Discard when no longer needed for reference.

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

23. Purchase Orders

See item 13, Financial Files, for explanation.

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

24. Reading or Chronological Files

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

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

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

26. Reports and Studies

(a) Reports and Studies approved by the City Council or by City commissions, boards, and committees. Reports and studies commissioned by the City, funded by City monies, and pertaining to City facilities, operations, and services. These documents are usually prepared by City staff or by consultants working under the supervision of a City department. Includes studies and surveys in which the City is a participant, or which affect the City. Also includes research papers created on behalf of or for the use of the City and addressing topics such as urban and regional land use, planning, zoning, air and water pollution, transportation, public utilities, urban geography, surveying, and mapping, and semiofficial publications such as city planning reports prepared by a commercial firm, or in partnership or consultation with any City planning agency.

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

(1) City Clerk’s Office maintains City's record copy. **Disposition:** Permanent
(2) Library use copies. **Disposition:** Permanent (GC 50115)
(3) Departmental record copy maintained by originating department. **Disposition:** Retain 25 years.
(4) All other copies. **Disposition:** Discard when no longer needed for reference. (GC 34090.7)

(b) Internal Reports and Studies. Reports, studies, surveys, and analyses conducted or commissioned by City departments for internal information or planning purposes, and not transferred to the City Clerk’s Office.

(1) Final report. Record copy maintained by originating department. **Disposition:** Discard when 10 years old, unless listed otherwise in the City schedules.
(2) All backup data and documentation necessary to support final report's validity. **Disposition:** Discard 2 years after completion of survey document, unless listed otherwise elsewhere in the City schedules.
(3) Working files, including drafts, notes, and reference materials. **Disposition:** Discard 1 year after completion of survey document, unless listed otherwise elsewhere in the City schedules.
27. Staff Working Papers
Reference files and duplicate copies of documents accumulated during preparation of a report or work on a project. **Disposition:** Retain 1 year after completion of report or project, or discard sooner if no longer needed for reference.

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

(a) Subject Files of Department and Division Heads. Files arranged by subject relating to the projects, administration, and procedures maintained by City department and division heads.

   (1) Organizational and Project Files. Files containing administrative directives, policy studies and reports, formal memoranda, reports of special advisory committees and task forces, and similar records documenting the formulation and implementation of projects, policies, programs, and operations of any City office. **Disposition:** Permanent

   (2) Administrative Procedural Files. Administrative announcements, routine correspondence and memoranda, statements, reports, and other records of City offices pertaining to office procedures and distributed within the department or among City offices. **Disposition:** Retain in office 5 years or when superseded. (GC 34090)

(b) Staff Subject Files. Documents generated by City department and division offices in the course of routine office administrative functions have short-term value. These records include correspondence, and general information about city activities and programs, budget and appropriations, training, legislation, and associations and societies. **Disposition:** Transfer to storage when 1 year old. Discard when 3 years old. (GC 34090)

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

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

(a) Record copy in the Finance Department. **Disposition:** Retain 7 years after the fiscal year to which the records relate; then discard. (26 CFR 1.6001-1, 29 CFR 516.5, CCR §19141.6, and California Labor Code 1174)

(b) All other copies. **Disposition:** Discard when 2 years old or when no longer needed for reference, whichever is sooner. (GC 34090.7)
31. Training Records

(a) Departmental correspondence, memoranda, reports, and other records pertaining to the availability of training and employee participation in training programs sponsored by other government or non-government agencies. **Disposition:** Discard when 5 years old or when superseded or obsolete, whichever is sooner.

(b) Certificates of completion, certificates of passing of training requirements, and other documentation of successful training completion retained by City departments. Includes test scores on final tests taken by employee. **Disposition:** Discard after separation, transfer, or termination of employee.

32. Travel Expense Records

Records relating to the expenditure of funds for travel. Record copy is kept by the originating department. **Disposition:** Retain 7 years after end of fiscal year to which the records relate. (26 CFR1.6001-1 and CCR §19141.6)

33. Video Feed From Security Cameras

Recordings of the video monitoring of public activity within the City’s right-of-ways (e.g. streets, sidewalks, and paseos) and public buildings.

(a) Routine video monitoring of regular and ongoing operations, including feed produced by mobile in-car video systems and building security recording systems. Disposition: Destroy after one year. (GC 34090.6)

(b) Special video recording of a specific event or activity. Disposition: Destroy after two years. (GC 34090)

(c) Video recordings related to complaints against police personnel. **Disposition:** Retain for five years. (Penal Code 832.5)
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.
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 to and members of each of the City's advisory groups.

(a) Applications, correspondence, and Oath of Office forms for members whose terms have expired or who have resigned; expired applications from applicants who were not appointed to an advisory group; and vacancy notices prepared and posted per the Maddy Act. Disposition: Retain for 2 years or when no longer needed for reference, then discard. California Government Code (GC) 34090

(b) Public rosters of advisory group membership. Disposition: Permanent

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

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

4. City Council Agenda Report Files
Files contain all documentation submitted to the City Council in connection with an agenda item. This series includes reports referred to in Schedule No. 20. Disposition: Permanent

5. City Council Agendas
These agendas for City Council meetings are numerically coded for filing of Council Agenda Reports. Agendas prior to July 2006 include information on the actions taken by the Council. Agendas for 1967-1971 are on microfilm, agendas dated 1975 - Present are in file format, and...
agendas dated 1998 - Present are also retained in electronic format. **Disposition:** *Permanent*

6. **City Council Meeting Audio or Video Recordings**
   Audio and video recordings of City Council meetings. **Disposition:** *Retain for 10 years.*

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

8. **City Council Meeting Minutes, Index to**
   These indices provide subject and chronological access to the City Council Minutes. Minutes for 1850 – February 1904 are indexed by file cards; minutes for March 1904 - February 1973 are indexed in volumes; minutes for June 1972 – August 1990 are indexed by file cards; and beginning with 1988, minutes are also indexed in electronic format. **Disposition:** *Permanent*

9. **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. Current and open contracts, agreements and leases are vital records. **Disposition:** *Contracts: Retain 15 years after completion or termination; Leases: Retain for life of lease plus 4 years.*

10. **Contracts/Agreements/Leases Indices**
    Logs contain information about each City agreement. The logs are supplemented by index cards. These have not been created since 1998, when electronic retention of this information was initiated. **Disposition:** *Permanent*

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

12. **Election Ballots, Assessment Districts:**
    Ballots mailed to property owners in elections held to establish assessment districts; election proceedings must follow requirements of Proposition 218/California Constitution Article 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)

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. 14), including sample ballots from specific elections and the County Clerk's Statement of Votes Cast. **Disposition:** *Discard after 2 years or when no longer needed for reference.*

14. **Election Records**

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

(a) Files, Elections Consolidated With and Conducted by the County of Santa Barbara:

1. Council Agenda Reports, resolutions, legal notices, affidavits of publication and posting, and City Clerk correspondence documenting the election process.  
   **Disposition:** *Permanent*  

2. Sample ballots. **Disposition:** *Retain one copy of each sample ballot permanently.*

(b) Files, Elections Conducted by the City of Santa Barbara:

1. Council Agenda Reports, resolutions, legal notices, affidavits of publication and posting, and City Clerk correspondence documenting the election process.  
   **Disposition:** *Permanent*  

2. Sample ballots. **Disposition:** *Retain one copy of each sample ballot permanently.*

3. Ballots, Applications for Vote by Mail Ballots, Vote by Mail Voter Identification Envelopes, Vote by Mail Challenge List, Precinct Official material, Ballot Processing Logs, Ballot Counter Printouts; Logic & Accuracy Certifications, Ballot Counter Program Cards, Ballot Statements from Precincts, Street Indexes, Daily Summary Reports, Manual Tally Sheets, Voter ID and Polling Place Location Reports, Log of Observers of Vote by Mail Ballot Board, working copy of Precinct Map of Santa Barbara area, and Report: "Voter Listing with Comments." **Disposition:** *Retain for 6 months from the date of the election, then destroy.* (EC Sections 17302, 17304, 17503 and 17505)

4. CD of Voter Information, Rosters of Voters, and Applications for Registration Information. **Disposition:** *Retain for 5 years from the date of the election, then destroy.* (EC Sections 17001, 17300, and 2188(f), respectively.)

5. Voter Information, including data identifying each registered voter and, if the voter returned his/her voted ballot, the date the ballot was received. **Disposition:** *Permanent.*

(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. As of 2013,
this series is retained in electronic format. **Disposition:** *Permanent.* (GC 81009)

(2) Statements of candidates for Mayor or City Councilmember who are not elected, and of committees supporting any candidate for these offices who is not elected. **Disposition:** *Discard after 5 years.* (GC 81009)

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

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

15. Ethics Training Logs, **Certificates**
These logs and certificates document training taken by local agency officials in general ethics principles and ethics laws relevant to public service. Training is required by AB 1234. The logs record (1) the dates that local officials satisfied the training requirement; and (2) the entity that provided the training. **Disposition:** *Retain logs for 5 years after the date of the training, then discard.* (GC 53235.2.)

16. Grant Deeds, Easements
Recorded deeds and easements for property transactions in the City of Santa Barbara. Deeds and easements for current City property are vital records. **Disposition:** *Permanent*

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

18. Ordinances Index
Logs provide information about City Ordinances, by subject and date. **Disposition:** *Permanent*

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

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

21. Resolutions
Official resolutions of the Santa Barbara City Council. **Disposition:** *Permanent*
22. Resolutions Index
Logs provide information about City Council resolutions, by subject and date. **Disposition:** Permanent

23. Statements of Economic Interest
Statements disclose financial interests of City officials and serve to prevent conflicts of interest. These statements must be filed by City Councilmembers, advisory group members, and certain employees. **Disposition:** Discard after 7 years. (GC 81009)

**Obsolete Records of City Clerk and Various City Departments**

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

These are acts to incorporate the City, to amend an act of incorporation, or to confer further powers on the City’s Common Council. This is not a City record. **Disposition:** Permanent

26. 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

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

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

29. 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

30. Book “A” Grants
Volume contains information about land grants in Santa Barbara. **Disposition:** Permanent
31. **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

32. **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 was performed, structure owner's name, cost of improvements, and permit fee. **Disposition:** Permanent

33. **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

34. **Cash Books**
Books document monies received into and paid from various City funds from 1859 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 Bond Fund, Library Building Fund, General Fund, and Fifth Ward Improvement Fund). **Disposition:** Permanent

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

36. **City Electrician's Record Book**
Books documents permits issued by the City for electrical 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

37. **City Historical Record**

(a) Petitions, correspondence, bank books, affidavits of publication, survey maps and reports, reports on various issues, claims, patents and deeds, oaths of officers, bond records, and abstracts of title. Some of the earliest documents are in Spanish. **Disposition:** Permanent.

(b) Records of historical value related to all current City departments, as well as to former City functions (City Assessor, City Health Officer, Board of Education). Also, various publications and other documents focusing on various aspects of the City’s history and major events. **Disposition:** Permanent.
38. City of Santa Barbara Parking Corporation Minutes
Volume contains City of Santa Barbara Parking Corporation meeting minutes. **Disposition:** Permanent

39. 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

40. Day Books
Books contain 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

41. 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

42. 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. **Disposition:** Permanent

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

44. 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

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

46. Map Negatives
These are photographic negatives 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
47. 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. **Disposition**: Permanent

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

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

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

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

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

53. Property Grants
The original "Grant of Pueblo Lands of Santa Barbara" (5/31/1872) signed by President U. S. Grant. **Disposition**: Permanent

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

55. 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 owners in the front of the volume. **Disposition**: Permanent

56. 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. Information in the volumes includes the date of issue, payee, service rendered, total amount due, and date warrant holder paid. **Disposition**: Permanent

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

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

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

60. 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

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

62. Tax Collection Receipts
Volume contains information on the names of debtors and the location of their property; dated 1924 - 1925. **Disposition:** Permanent

63. Time Roll and Daily Time Book
Books document the hours worked by City employees and their wages; dated 1915 and 1923, respectively. **Disposition:** Permanent

64. Treasury Invoices
Volumes contain receipts for payments made to the City Treasurer's Office by individuals and institutions; dated 1902 - 1910. **Disposition:** Permanent

65. 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**

66. 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)
67. 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.

68. 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)

69. 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)

70. 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)
71. Exit Interviews
Files contain exit interviews with terminating or separating employees. **Disposition:** Discard after 5 years or when no longer needed for reference. (GC 34090)

72. 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)

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

   (a) Employee files containing job applications, evaluations, personnel action forms, benefit forms, and correspondence and reports related to employees. **Disposition:** Discard 25 years after employee termination or separation. (29 CFR 1627.3 and GC 12946)

   (b) Leave requests. **Disposition:** Discard after 3 years.

   (c) W-4 forms. **Disposition:** Discard 4 years after the due date of the tax to which the records relate or after tax is paid, whichever is later. (26 CFR 31.6001-1; 29 CFR 516.5)

74. 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

75. 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))

76. Vacancy Files
Files contain the recruitment requisitions that contain information on City vacancies. **Disposition:** Discard after 2 years or when no longer needed for reference. (GC 34090)
BENEFITS OFFICE

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

78. 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)

79. 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)

80. 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.

81. 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

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

83. 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.*

84. 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
24. Notice to Airmen
File documents the airport's issuance of notices to airmen regarding obstructions to flight (i.e.,
tall derricks, etc.) and unusual flying conditions. **Disposition**: *Discard after 7 years.* (Code of
Civil Procedure (CCP) 340)

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

26. Patrol Officer's Daily Logs
Logs document the daily activities of the Airport patrol officers. **Disposition**: *Discard after 3
years.* (GC 34090)

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

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

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

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

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

32. Stormwater Discharge Reports
Reports related to stormwater run-off quality at the Santa Barbara Municipal Airport. They are
prepared annually and submitted to the California State Water Quality Control Board.
**Disposition**: *Permanent*
33. Taxicab Files
Files contain correspondence, statistics, activity logs, taxicab permits, and other materials related to taxicabs serving the airport. **Disposition:** Discard 7 years after end of fiscal year to which the records relate. (26 CFR 1.6001-1; GC 34090; CCR § 19141.6)

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

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

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

**CAPITAL SUPPORT**

37. Airport Design and Construction Project Files
Files contain maps, plans, reports, correspondence, photographs, specific plans, construction information and other materials related to airport design and construction.

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

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

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

39. Engineering Project Files (inactive)
Files contain plans, reports, correspondence, and other materials related to airport engineering projects.
(a) Maps, plans, reports, correspondence, photographs, specific plans, and other original construction related materials. **Disposition: Permanent**

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

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

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

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

### 41. Hazardous Material Files
These files contain MSDS data sheets, manifests, and incident and exposure reports.

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

(b) Incident and Exposure Reports. These document incidents related to hazardous materials and hazardous materials exposures. **Disposition: Retain 5 years following the end of the year to which they relate.** (29 CFR 1904.6)

(c) Manifests. These are workplace chemical lists of hazardous materials used at the Airport Department. **Disposition: Update annually; discard when superseded.**

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

### 43. Plans, Maps, and Aerial Photographs (original)
These are the original final plans and as-built plans for airport facilities. Also included are aerial photographs and blueprints. Current as-built plans are vital records. **Disposition: Permanent**
44. Specifications
These are construction specifications for airport facilities. Disposition: Permanent
CITY OF SANTA BARBARA, CA
CITY ADMINISTRATOR’S OFFICE

UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS
RECORDS SCHEDULE IS LOCATED IN THE CITY ADMINISTRATOR’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. 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)

2. City Administrator’s 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 large and significant
          policies, programs, operations, and projects of a City department, division, or office.
          **Disposition:** Retain for 25 years.
      (2) Routine Correspondence. Incoming and outgoing letters pertaining to normal and
          routine administrative functions. Consists of correspondence providing general
          information, replying to complaints and requests for information, referring inquiries
          elsewhere, forwarding materials, acknowledging incoming letters, making
          arrangements for routine meetings or other events, and similar matters of minor
          administrative character which contain no substantive information. **Disposition:**
          Discard after 2 years. (GC 34090)
      (3) Transitory Correspondence. Requests for information and copies of replies thereto
          involving no administrative actions, no policy decisions, and no special compilations
          or research, and requests for and transmittal of publications, photographs, and other
          informational literature. Also letters of transmittal and thanks. **Disposition:** Retain
          in office 1 year, then discard.
(b) Studies completed by City Administrator staff.
   (1) Departmental record copy of reports and studies approved by City Council. Record copy is in Administrative Services Department, City Clerk’s Office. **Disposition:** Retain for 2 years.

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

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

   (a) Grand Jury Investigation files. Current files are vital records. **Disposition:** Retain until issue is resolved plus 2 years, then discard. (GC 68152)

   (b) Employee files. These files deal with problem situations involving particular employees. Current files are vital records. If case goes to court retain:
   (1) Civil action files. **Disposition:** Discard after 10 years. (GC 68152)
   (2) Misdemeanor case files. **Disposition:** Discard after 5 years. (GC 68152)

   (c) Employee files. If case does not go to court. **Disposition:** Retain materials until issue is resolved plus 4 years, then discard. (Code of Civil Procedure 337, 337.1, 338, 339, and 340)

4. **Finance Subject Files**
Files contain correspondence, reports, budgets, bonds, studies, audits, claims and other materials related to accounting and billing, budgeting, debt service, investments, revenue and taxation, assessment districts, and other financial topics. Record copy is in Finance Department. **Disposition:** Discard after 2 years. (GC 34090.7)

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

6. **Municipal Government Subject Files**
Files contain correspondence, reports, charts, indices, resolutions, proclamations, committee/advisory board/task force records, policies and procedures, newsletters, bulletins, and other materials concerning the City council, mayor, commissions, committees, task forces, and other units of government. The files concern the administration of the municipal government.
(a) City Administrator policies and procedures relating to City administration. **Disposition:** Retain for 10 years.

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

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

(a) City Administrator Correspondence.

(1) Program and Policy Correspondence. Incoming and outgoing letters and memoranda pertaining to the formulation, planning, and implementation of policies, programs, operations, and projects related to city properties. **Disposition:** Retain for 10 years.

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

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

(b) City Administrator policies and procedures related to municipal operations. **Disposition:** Retain for 25 years.

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

### 8. Municipal Planning and Development Subject Files
Files contain correspondence, reports, grant information, policies and procedures, and plans related to community development and planning topics and issues such as administration, commissions, redevelopment, the environment, land use, planning, housing, and transportation. The majority of these records are in the Community Development Department.

(a) City Administrator Correspondence. **Disposition:** Retain for 10 years.

(b) City Administrator policies and procedures related to municipal planning and development. **Disposition:** Retain for 10 years.
(c) Duplicate records maintained in other City departments. **Disposition:** Discard after 2 years. (GC 34090.7)

(d) Reference Materials such as grant information files. **Disposition:** Discard when superseded. (GC 34090.7)

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

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

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

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

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

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

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

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

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

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

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

12. **Services Public Works Subject Files**

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

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

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

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

13. **Services Recreational Resources Subject Files**

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

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

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

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

14. **Services Social Services Subject Files**

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

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

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

(c) Duplicate records maintained in other City departments. **Disposition:** *Discard after 2 years.* (GC 34090.7)
15. Services Water Resources Subject Files
Files contain correspondence, reports, plans, and meeting records related to water resources issues such as policies and procedures, rates, commissions, bonds, water supply, water distribution system, water districts, reservoirs, water treatment, water connections, and wastewater management. The record copy for the majority of these records is in the Public Works Department.

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

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

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

16. 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

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

18. 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

19. Digital Video Recordings of Meeting
Digital video recordings of meetings of the City Council and the City boards, commissions, and committees that are advisory to the City Council, and for which written minutes are prepared. **Disposition:** City Council Meetings: Permanent; Planning Commission, Historic Landmarks Commission, Architectural Board of Review, and Single Family Design Board: Retain for 5 years; Other meetings: May erase/discard after 30 days (GC 54953.5), but retain no longer than 2 years.
20. Field Footage
Footage is that which was shot in the field and documents natural disasters such as major storms and earthquakes, special events, and issues of importance to the City. **Disposition:** *Retain for 2 years.*

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

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

23. 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**

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

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

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

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

25. Mayor's Correspondence Files
These files contain the correspondence of the 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.*
26. Mayor's Subject Files
Files contain correspondence, reports, newspaper clippings, and other materials related to topics and issues of interest to the mayor, City, and Santa Barbara residents.

(a) Mayor’s Correspondence. **Disposition:** Retain for 10 years after the expiration of the Mayor's term during which the document was produced, then discard; if correspondence has historical significance, transfer to City Clerk's Office for permanent retention.

(b) Duplicate of records maintained in other City departments and newspaper clippings. **Disposition:** Discard after 2 years. (GC 34090.7)

(c) Mayor’s Personal Papers. These are not City records. **Disposition:** Retain until end of current mayor’s term.

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

28. Sister Cities Information Files
Files contain correspondence, reports, and information concerning Santa Barbara's sister cities. **Disposition:** Permanent
CITY OF SANTA BARBARA, CA
CITY ATTORNEY

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

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1. Certificates of Participation/Bond Transcript
City-issued certificates of participation in bond measures. Record copy is in Finance Department. Disposition: Discard after 5 years or if refinanced.

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

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

4. Departmental Files
Files contain correspondence, reports, and City Attorney opinions related to issues of interest to City departments, as well as to questions on which City departments need legal opinions. Disposition: Discard when superseded.

5. Litigation Files (active and inactive)
Files contain correspondence, reports, memoranda, attorney notes, and other materials related to litigation cases. Current files are vital records.

   (a) Formal judgments. Disposition: Permanent

   (b) 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."

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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

- FEMA financial materials. **Disposition:** Discard after 7 years. (26 Code of Federal Regulations (CFR) 1.6001-1 and CCR § 19141.6)
- FEMA Maps, Base Flood Elevations, Letters of Map Revisions, Letters of Map Changes, Determinations of Substantial Improvement and supporting documentation. **Disposition:** Permanent (FEMA National Flood Insurance Program IS 9)
- FEMA correspondence and related materials. **Disposition:** Discard Retain until no longer needed for reference after 3 years. (44 CFR 13.42)

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

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

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

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

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

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

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

12. Seismic Safety Program Publicity Records
Materials include overhead transparencies, technical information reports, handouts, and slides and photographs of work in progress. **Disposition:** Retain until no longer needed for reference.
BUILDING INSPECTOR

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

PLAN CHECK

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

RECORDS

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

16. Cashier Journal Summary Reports
Reports document fees paid by the public for permits, copies of plans, and other materials. Also included are cash register receipts. **Disposition:** Discard after 2 years 18 months. (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

Approved by Resolution No. 14-00616, Adopted on February 219, 20142016
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

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

21. Permit Log Books
Books document the issuance of building permits (1902-1925). They contain information on properties for which building permits were issued, names of property owners, names of builders, street addresses, costs of improvements, dates permits granted, and comments about the projects. Disposition: Permanent (Santa Barbara County Code (SBCC) 10-2.4)

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

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

HOUSING AND REDEVELOPMENT

24. Annual Report to State Controller
This report describes the activities of the Redevelopment Agency during the fiscal year and provides information on financial matters of the Agency. Current report is a vital record. Disposition: Permanent.
REDEVELOPMENT PROGRAM/ AGENCY

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

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

27. Redevelopment Agency Agenda Packets
Packets contain meeting agendas and attached documentation. **Disposition:** Permanent

28. Redevelopment Agency Agendas (Finished)
These agendas are prepared immediately after agency meetings and document who attended, length of meeting, and resolutions passed. **Disposition:** Permanent

29. Redevelopment Agency Budgets and Financial Statements
These are budgets and financial statements for the Redevelopment Agency. **Disposition:** Permanent

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

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

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

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

Approved by Resolution No. 44-00616-, Adopted on February 119, 20142016
34. Rental Housing Mediation Task Force Records
Records include contact information and statistical reports regarding clients served by this program, the purpose of which is to mediate rental housing disputes. The statistics are maintained in accordance with the requirements of contracts the City has with other municipalities to provide these services.

(a) Intake Forms. The data on these forms is entered into an Access database. **Disposition:** Retain for 5 years, then destroy.

(b) Statistical Reports. **Disposition:** Monthly and Quarterly Reports: Discard after 5 years; Annual Reports: Retain for duration of Rental Housing Mediation Program plus 5 years.

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

(a) Seismic safety bond files including seismic safety bond claims, bond statements, and seismic revenue account information. Record copy is in Finance Department. **Disposition:** Discard 2 years after end of program and last payment. (GC 34090.7)

(b) Redevelopment Agency correspondence, memoranda, reports, and other related materials. **Disposition:** Permanent

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

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

HOUSING DEVELOPMENT PROGRAM

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

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

(b) Materials documenting housing costs and grant funding. **Disposition:** Permanent.

Approved by Resolution No. 44-00616-, Adopted on February 449, 20142016
(c) Duplicate maps, correspondence, reports, and other records maintained by other city departments. **Disposition:** *Discard after 2 years or when no longer needed for reference.* (GC 34090.7)

(d) Compliance Monitoring Files. Records of housing developers' compliance with affordability requirements. **Disposition:** *Permanent.*

(e) Individual Tenant Information. Rent rolls data. **Disposition:** *Discard after 2 years or when no longer needed for reference.*

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

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

(b) All other files. **Disposition:** *Retain for the most recent 5 year period.* (24 CFR 92.508)

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

**HOUSING REHABILITATION LOAN PROGRAM**

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

(a) Records related to loans, including photographs. **Disposition:** *Discard 5 years after loan is repaid.*

(b) Records related to individuals who did not qualify for loans. **Disposition:** *Discard 2 years after disqualified.*
CDBG ADMINISTRATION PROGRAM

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

(a) CDBG Files. **Disposition:** Discard 5 years after expiration of the contract and any amendments, completion and resolution of the audit and/or any litigation, whichever is later. (Housing and Urban Development (HUD) requirement)

(b) CDBG files involving litigation, claims, or audit findings that extend beyond the initial five-year period. **Disposition:** Retain records until all litigation, claims, or audit findings involving the records have been resolved. (24 CFR Part 85)

(c) CDBG files containing records regarding property acquired with grant funds. **Disposition:** Discard 5 years after final disposition. (Housing and Urban Development (HUD) requirement)

(d) CDBG files containing records for any displaced person. **Disposition:** Discard 5 years after the person has received a final relocation payment or until the loan has been repaid, whichever is longer. (Housing and Urban Development (HUD) requirement)

(e) Integrated Disbursement and Information System (IDIS) Logs. Logs of online drawdown submittals for distribution of funds to non-profit organizations that have been granted CDBG funds. **Disposition:** Retain for 5 years after final grant payment.

42. Community Development Block Grant Project Files (active)
Files contain reports, studies, correspondence, and other general reference information related to CDBG projects. Current files are vital records.

(a) CDBG Files. **Disposition:** Discard 5 years after expiration of the contract and any amendments, completion and resolution of the audit and/or any litigation, whichever is later. (Housing and Urban Development (HUD) requirement)

(b) CDBG files involving litigation, claims, or audit findings that extend beyond the initial five-year period. **Disposition:** Retain records until all litigation, claims, or audit findings involving the records have been resolved. (24 CFR Part 84)

(c) CDBG files containing records regarding property acquired with grant funds. **Disposition:** Discard 5 years after final disposition. (Housing and Urban Development (HUD) requirement)

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

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

PLANNING

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

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

(a) Master and general plan maps including the various versions of the Shoreline Master Plan. **Disposition:** Retain one copy of each map permanently.

(b) Zoning maps including, zoning base, sectional zone, coastal zone, and land use maps. Included are special purpose zoning maps related to parking, open space, the downtown area, and other zones. **Disposition:** Retain one copy of each map permanently.

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

(d) Maps related to particular uses such as the airport, schools, hospitals, and parks. Included are special purpose maps like hazard overlays. **Disposition:** Retain one copy of each map permanently.

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

(f) Transportation planning maps including those related to roads, freeways, and railroads. **Disposition:** Retain one copy of each map permanently.

(g) Cultural resource planning maps documenting the cultural resources of Santa Barbara. **Disposition:** Retain one copy of each map permanently.
(h) Olmsted/Chaney Plan (1924). **Disposition:** Retain one copy of each map permanently.

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

### LONG RANGE PLANNING/SPECIAL STUDIES

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

### DEVELOPMENT REVIEW PROGRAM

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

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

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

### DESIGN REVIEW PROGRAM:

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

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

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

   (b) All other materials. **Disposition:** Insert original records into subseries (a) file; discard duplicate records 2 years after original approval date or after building permit is issued.

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

   (a) Ordinance Amendments and Special Study Files. **Disposition:** Permanent

   (b) All other materials. **Disposition:** Discard after 5 years or when no longer needed for reference. (GC 34090)

ENVIRONMENTAL REVIEW PROGRAM

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

55. Environmental Review Committee Files – 1976 - 1990
These archive files contain meeting minutes and agendas, correspondence, studies, reports, maps, and plans related to environmental assessments, and environmental documentation submitted to the committee in support of projects seeking approval. **Disposition:** Permanent

HISTORIC AND CULTURAL RESOURCES PROGRAM

56. City Landmarks Files
Files contain maps, photographs, correspondence, reports, and other materials documenting historic city landmarks, designated city structures of merit, and potential city landmarks or structures of merit. Current file is vital record. **Disposition:** Permanent
57. **Historic and Archaeological Resources Files**
Files contain correspondence, Historic Landmarks Commission minutes, Archaeological and Historic Structures Reports, Phase I and Phase II reports related to cultural resources both above and below ground in Santa Barbara. Current files are vital records. **Disposition:** *Permanent*

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

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

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

**SIGN REVIEW PROGRAM**

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

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

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

   (b) All other materials. *Insert original records into subseries (a) file; discard duplicate records after 2 years.*
ORDINANCE INFORMATION/ENFORCEMENT PROGRAM

63. City Attorney Files
Files pertain to zoning enforcement cases referred to the City Attorney. They also provide background reference information on "recidivist" cases. Record copy is in City Attorney's Office. Disposition: Discard after 2 years or when no longer needed for reference. (GC 34090.7)

64. Historic Zoning Records
These are early zoning maps and ordinances for the City of Santa Barbara. Disposition: Permanent

65. Staff Hearing Officer Minutes and Resolutions
These are the minutes of Modification Hearings. They document modifications in zoning and requirements. Current files are vital records. Disposition: Permanent

66. Zoning Enforcement Case Files
Files contain correspondence, reports, zoning enforcement staff notes, and other information related to zoning enforcement cases. Current files are vital records. Disposition: Transfer to Street Files after case is closed.
CITY OF SANTA BARBARA, CA
FINANCE DEPARTMENT

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

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

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

ACCOUNTING DIVISION

1. Accounting Reports
These reports are microfilmed deduction registers. Current reports are vital records. Disposition: Discard 7 years after the fiscal year to which the records relate or when no longer needed for reference. (26 CFR 1.6001-1 and CCR §19141.6)

2. Accounts Payable
Files document vendor accounts with City departments and the payment of vendor invoices. Current file is a vital record. Disposition: Retain 7 years after the fiscal year to which the records relate; then discard. (26 Code of Federal Regulations (CFR) 1.6001-1 and California Code of Regulations (CCR) §19141.6)

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

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

5. Bank Reconciliations
These are monthly reconciliations of bank accounts to make sure all monies are accounted for. Current reconciliations are vital. Disposition: Retain 7 years after the fiscal year to which the records relate; then discard. (26 CFR 1.6001-1; CCR §19141.6)
6. Capital Project Files
Files contain financial reports concerning City capital projects. **Disposition:** *Permanent*

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

   (a) CDBG Agreements. **Disposition:** *Discard 5 years after expiration of the contract and any amendments or upon completion and resolution of an audit and/or any litigation, whichever is later.* (Housing and Urban Development (HUD) requirement)

   (b) Records for property acquired with grant funds. **Disposition:** *Discard 5 years after final disposition.* (Housing and Urban Development (HUD) requirement)

   (c) Records regarding any displaced person. **Disposition:** *Discard 5 years after the person has received a final relocation payment.* (Housing and Urban Development (HUD) requirement)

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

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

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

11. General Ledger Journal Vouchers
General ledgers document all movement of moneys between City funds. This is a vital record. **Disposition:** *Retain 7 years after the fiscal year to which the records relate; then discard.* (26 CFR 1.6001-1 and CCR §19141.6)

Approved by Resolution No. **44-00616**, Adopted on February **14, 2014**
12. **Grant Files (closed)**
Files document closed grants and contain correspondence, agreements, reports, and other related information.

(a) Grant agreement approved by City Council. Record copy is in Administrative Services Department, City Clerk's Office.

1) Grant Agreement. Record copy in City Clerk’s Office. **Disposition:** Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three year period, whichever is later. (14 CFR 151.55; 24 CFR 570.490; 28 CFR 66.42; 44 CFR 13.42)

(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 CFR 13.42)

(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.
period, whichever is later. (14 CFR 151.55; 24 CFR 570.490; 28 CFR 66.42; 44 CFR 13.42; 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 CFR 13.42; GC 34090)

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

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

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

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

17. Payroll Checks (canceled)
These are payroll checks for the City of Santa Barbara. Also included are travel expense and group benefit cancelled checks. Disposition: Retain 7 years after the fiscal year to which the records relate; then discard. (26 CFR 1.6001-1 and CCR §19141.6)
18. Time Cards
The time cards document the hours worked by City employees. Current time cards are vital records. **Disposition:** Retain 7 years after the fiscal year to which the records relate; then discard. (26 CFR 1.6001-1, 29 CFR 516.5, CCR §19141.6, and California Labor Code 1174)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Approved by Resolution No. 44-00616-, Adopted on February 449, 20142016
34. **Tax Rate Volumes**
Volumes provide information on the City’s tax rates. Current volumes are vital records.  
**Disposition:** Permanent

35. **Two-Year Financial Plan and the Mid-Cycle Budget Addendum Documents**
These are the published City budget documents. Current budget is a vital record.  
**Disposition:** Permanent per department policy.

**ENVIRONMENTAL PROGRAMS**

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

(a) Asbestos assessment and removal records.  
**Disposition:** Retain for 30 years, then discard.  
(40 CFR 763.121)

(b) Solid waste permit and contract records.  
**Disposition:** Retain 2 years after expiration of the permit or contract, then discard.  
(Santa Barbara County Code 17-13)

(c) Duplicate contracts, agreements, reports, bid specifications, purchase orders, maps, plans, financial records, and other duplicate records.  
**Disposition:** Retain until project completion plus 5 years, then discard.  

(d) Engineering Division correspondence, memoranda, notes, photographs, notices of completion, and site assessments.  
**Disposition:** Permanent

37. **Project Reports**
These are environmental impact and assessment reports prepared in association with environmental projects. Many of these reports were prepared by outside consultants.  
**Disposition:** Permanent

**GENERAL SERVICES**

38. **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)

**3936. Bids (opened)**
Files contain bids that have been opened, but not awarded. All bid documentation, including requests for proposal, correspondence, award letters, and both successful and unsuccessful bids is also enclosed in the files. Current bids are vital records.

(a) Unaccepted bids and associated correspondence and supporting materials. **Disposition:**
Discard after 10 years. (GC 26202.1)

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

**40. 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)

**4137. Central Stores Supplies Inventory**
Inventory contains listing of supplies carried by Central Warehouse; includes Issues (Requisitions), Slips, and Claims. **Disposition:** Discard after 5 years. (GC 24051)

**4238. 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)

**4339. 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)

**4440. 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)
Quick Quotes
These are requests for quotation from three vendors for each purchase of products and services totaling $2,500-$25,000 or $7,501 - $75,000. Current Quick Quotes are a vital record.
Disposition: Retain 7 years after the fiscal year to which the records relate; then discard.
(Santa Barbara Municipal Code (SBMC) 4.52.060)

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)

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

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.

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)

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)
5447. **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)

5248. **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)

5349. **Insurance Policies**
Files contain various insurance policies for City property. Current policies are vital records. **Disposition:** *Permanent*

5450. **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)

5551. **Liability Claim Schedules**
These schedules show the status of damage claims against the City. Current files are vital records. **Disposition:** *Permanent*

5652. **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)
5753. 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)

5854. 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.

5955. Workers' Compensation Files
Files contain correspondence, claims, reports, notes, and other materials documenting workers'
compensation claims against the City. Current files are vital records. Disposition: Permanent.
(29 CFR 1904.4 and 6, GC 25105.5, LC 5500.5)

6056. Workers' Compensation Information Files
Files contain the forms and other information needed to administer the City's workers'
compensation program. Disposition: Permanent. (GC 34090)

TREASURY

6157. 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)

6258. 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)

6359. 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.

6460. 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)
6561. 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

3362. 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 duplicate agreements after 2 years. Retain all other documentation permanently. (GC 34090 and 34090.7)

6663. 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.

6764. 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)

6865. "MBIA" Audit Files
MBIA is a private company that verifies that major users are paying the correct utility users tax and sales tax to the City. Included in the files is correspondence, reports, financial statements, notes, and other related materials. Disposition: Discard after 5 years. (SBMC 4.24.150)

6966. 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)

7067. 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

Approved by Resolution No. 14-00616, Adopted on February 119, 2016
7468. Transient Occupancy Tax Files
Files contain invoice copies, payment records, and other materials documenting the payment of bed taxes by Santa Barbara hotels, motels, and other such establishments. Current year files are vital records. **Disposition:** Discard after 5 years. (SBMC 4.08.150)

7269. 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)

7370. 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)

7471. 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**

7572. 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

7673. Assessment Records
Files contain correspondence, project prospecti, project descriptions, bond receipts, project resolutions, and refund schedules. **Disposition:** Permanent

7774. Assessment Roll Index
This volume is an index to the Assessment Rolls. **Disposition:** Permanent

7875. Assessment Rolls (Delinquent)
The Delinquent Assessment Rolls provide information about City property owners, their property, and taxes owed. **Disposition:** Permanent

7976. 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

Approved by Resolution No. 44-00616-, Adopted on February 19, 2014
8077. 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
UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE FIRE DEPARTMENT. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

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

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

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

(a) Battalion Chiefs Monthly Reports. **Disposition: Permanent**

(b) Disaster proclamations, committee and organization records, program and policy correspondence including incoming and outgoing letters and memoranda pertaining to the formulation, planning, and implementation of the mission, policies, programs, operations, and projects of the Office of Emergency Services. **Disposition: Permanent**

(c) Equipment information, budget for which record copy is in Finance Department, emergency procedures, Emergency Operations Center cards for city employees, and other general administrative records. **Disposition: Discard after 2 years or when superseded.** (GC 34090)

(d) Other records. **Disposition: Retain until superseded.**

(e) Accident Investigations – Vehicle. **Disposition: Permanent**

2. Building Plans for Fire Stations
Each fire station has a set of as-built plans for that station. Record copy is in Public Works Department, Engineering Division. **Disposition: Retain for life of fire station then discard.**
3. **Daily Report of Fires**
Reports document fire incidents in the city, including information on when and where the fire occurred, what caused the fire, and how the Fire Department responded. **Disposition:** *Permanent*

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

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

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

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

   (a) Information on historical disasters, Y2K planning, and staff correspondence and reports concerning policy and action decisions. **Disposition:** *Permanent*

   (b) Superseded disaster evacuation plans and supply contracts, and routine correspondence including incoming and outgoing letters pertaining to the normal and routine administrative functions of the Office. **Disposition:** *Discard after 2 years or when no longer needed for reference.* (GC 34090)

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

9. **Log Books**
Logs are maintained by each fire station and document the daily activities at each station, including information on fires fought and fuel purchased. **Disposition:** *Permanent*
The Manual of Operations provides instructions for the handling of each piece of fire department equipment. It has been superseded by the "Standard Operating Procedures." Disposition: Permanent

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

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

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

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

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

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

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

16. Timesheets
Final Fire Department payroll (yellow) timesheets signed by Employee and Supervisor. Disposition: Retain 7 years after the fiscal year to which the records relate; then discard.
CITY OF SANTA BARBARA, CA
LIBRARY DEPARTMENT

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."

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1. Gift Fund
Binder contains copy of gift form, 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)

2. Gifts Files
Files document gifts of money made to the library that are over $1,000. Disposition: Discard 7 years after end of fiscal year to which records relate.

3. Inter-Library Loan Borrowed Item Files
Files document items borrowed from other libraries and are maintained for reference only. Disposition: Discard after transaction is closed. (GC 34090)

4. Inter-Library Loan Cancellations
Files document inter-library loan request cancellation notices sent to patrons and are maintained for reference only. Disposition: Discard after transaction is closed. (GC 34090)

5. 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 and Santa Barbara counties. Disposition: Discard after transaction is closed. (GC 34090)

6. Library Board of Trustees Meeting Minutes
Minutes of the Library Board of Trustees meetings. Current minutes are vital. Disposition: Permanent
7. Library History File  
Files document the history of library facilities and services. **Disposition**: Permanent

Reports are printed monthly from a database. **Disposition**: Discard after 1 year.

9. 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)

10. 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)

**OBSOLETE RECORDS**

11. Library Card Applications Book ("Ledger")  
Bound volume contains documentation for library card applications including application dates and contact information for applicants. **Disposition**: Permanent

12. Library Expenditures Ledger ("Record")  
Record of library expenditures. **Disposition**: Permanent
UNLESS SPECIFICALLY INDICATED OTHERWISE, THE RECORD COPY OF ALL RECORDS LISTED IN THIS RECORDS SCHEDULE IS LOCATED IN THE DEPARTMENT OF PARKS AND RECREATION. IF NO OTHER INSTRUCTIONS EXIST, COPIES OTHER THAN THE RECORD COPY MAY BE TREATED AS DUPLICATES AND DISCARDED WHEN OBSOLETE OR NO LONGER NEEDED FOR REFERENCE.

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

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ADMINISTRATION DIVISION

1. Administrative Staff Meeting Agendas and Minutes
These are the agendas, agenda item documentation, and minutes for administrative staff meetings. **Disposition:** Discard when 2 years old or sooner if purpose is served.

2. Advisory Committee Binder
Binder contains listings of committee appointees, member contact information, member appointment and term expiration information, and policies that govern committees. **Disposition:** Discard when superseded.

3. Blueprints
These are the conceptual construction blueprints for completed parks and recreation facility projects. Some of these are as-built plans. The as-built plans for existing park facilities are vital records. **Disposition:** Permanent

4. Front Country Trails Multi-Jurisdictional Task Force Files
Records include agendas, documentation for agenda items, minutes, and other related materials for meetings of the Front Country Trails Multi-Jurisdictional Task Force. **Disposition:** Permanent.

5. Grant Files
Files contain grant documents and all supporting documents: applications, correspondence, reports, proposals, grant documents, contracts, project files, requests for reimbursement, invoices, etc. **Disposition:** Retain 3 years after grant project is completed and final payment is made. (24 CFR 85.42 and CG 34090)
6. **Joint Use Committee Meeting Files**  
Records include agendas, documentation for agenda items, minutes, and other related materials for meetings of the Santa Barbara School District Joint Use Committee and the Santa Barbara City College Joint Use Committee.  
**Disposition:** Permanent.

7. **Marketing and Publicity Materials Files**  
Files contain publicity materials such as program guides, flyers, newsletters, announcements, advertisements and final product samples of every marketing project undertaken by Marketing and Communications. **Disposition:** Permanent

8. **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

9. **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.

10. **Personnel and Background Files**  
Files document background checks conducted on former employees (Park Rangers) and contain correspondence, notes, reports, and other related materials. This is a vital record. **Disposition:** Discard 25 years after employee termination or separation. (29 CFR 1627.3 and GC 12946)

11. **Personnel Background Files**  
Files document background checks conducted on current employees (Park Rangers) and contain correspondence, notes, reports, and other related materials. This is a vital record. **Disposition:** Discard 25 years after employee termination or separation. (29 CFR 1627.3 and GC 12946)
12. Photographs
These official photographs document Parks and Recreation facilities, programs, activities, and staff. **Disposition:** *Permanent*

13. 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*

14. Project Files
Files contain correspondence, reports, drawings, mailing lists, meeting minutes, accounting, invoices, and other materials related to parks and recreation facility projects that are either 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)

15. Scrapbooks
The scrapbooks contain photographs and clippings of newspaper articles related to Parks and Recreation Department activities, services, projects, and initiatives. **Disposition:** *Permanent*

16. Slides
Slides document Parks and Recreation programs, staff, facilities, and activities. **Disposition:** *Permanent*

**CREEKS DIVISION**

17. 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*

Files contain forms or documents related to Creeks Outreach activities/cleanups, including waivers and liability releases, parent permission and authorization forms. Disposition: Retain for 5 years after event, then discard. (GC 34090)
GOLF DIVISION

19. 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**

20. Incident Reports and Safety Information
Files contain reports of incidents on the golf course such as thefts or incidents that result in damage to property or injury to persons. Record copy is in Finance Department, Risk Management Division. **Disposition: Retain in office 1 year, then discard.**

PARKS DIVISION

21. Andree Clark Bird Refuge Files
Files contain meeting minutes and agendas, contracts, negotiation notes, correspondence, maps, soils and water data, and other materials related to the Andree Clark Bird Refuge. Current files are vital records. **Disposition: Permanent**

22. 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.

(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)

23. 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**

24. 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**

Approved by Resolution No. 16-, Adopted on February 9, 2016
25. **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.

(a) Grant agreements approved by City Council. Record copy is in Administrative Services Department, City Clerk’s Office. **Disposition:** Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period, if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year, if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period, whichever is later. (44 CFR 13.42)

(b) Grant agreements not requiring City Council approval. Record copy is in Parks and Recreation Department. **Disposition:** Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period, if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year, if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period, whichever is later. (44 CFR 13.42)

(c) All financial and programmatic records, supporting documents, and statistical records relating to reimbursement by FEMA. Record copy is in Finance Department and includes reports, correspondence, purchase orders, invoices, and other financial documentation chronicling expenditure of federal funds. **Disposition:** Retain 3 years from the day the grantee or subgrantee submits its single or last expenditure report for the period, if renewed at an annual or other interval; or from the day the grantee submits its expenditure report for the last quarter of the federal fiscal year, if grant support is continued or renewed quarterly; or on the day the grantee submits its final expenditure report, in all other cases; or on the day the report would have been due, if expenditure report is waived; however, if any litigation, claim, negotiation, audit, or other action has started before the expiration of the three-year period, after closeout, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period, whichever is later. (44 CFR 13.42)
26. Franceschi Park Master Plan Advisory Committee Files
Files contain meeting minutes and agendas, correspondence, budget information, reports, and studies related to the activities of the Franceschi Park Master Plan Advisory Committee. **Disposition:** Permanent

27. Incident and Injury Reports, and Safety Information. Files document incidents and injuries and contain correspondence, staff notes, incident and injury reports, and safety information from the Parks Division. Record copy is in Finance Department, Risk Management Division. **Disposition:** Retain in office 1 year, then discard.

28. Integrated Pest Management Advisory Committee Files
Files contain meeting minutes and agendas, correspondence, budget information, reports, and studies related to the activities of the Integrated Pest Management Advisory Committee. **Disposition:** Permanent

29. Park Files
These files deal with particular City of Santa Barbara parks and park issues and contain correspondence, staff reports and notes, and other materials documenting the formulation of park policies, projects, and programs. **Disposition:** Permanent

30. Park Ranger Incident Reports
Reports document incidents and other occurrences in City parks and beaches. **Disposition:** Discard after 3 years. (14 CFR 107.23)

31. Street Tree Advisory Committee Files
Files contain meeting minutes and agendas, correspondence, budget information, reports, and studies related to the activities of the Street Tree Advisory Committee. **Disposition:** Permanent

RECREATION DIVISION

32. Recreation Program Files
Files contain records, reports, forms, agreements, correspondence, and other materials related to Recreation programs.

(a) **Programs Information.** Files contain correspondence and reports concerning the planning, implementation and evaluation of programs, activities and services. **Disposition:** Permanent
(b) **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 for 2 years. (GC 34090.7)

(c) **Registration.** Files contain forms or documents related to activity registration: activity registration forms, waivers, releases, parent permission and authorization forms, participant health screening documents, medical releases, and staff records on specific participant physical/mental conditions as related to proper placement into activities, supervision requirements, or modification of activities. **Disposition:** Retain 5 years after event, then discard. (GC 34090)

(d) **Independent Contractor/Instructor.** Files contain independent contractor applications, class proposal forms, independent contractor acknowledgment forms, independent contractor agreements, program registration and payment records for contractors, correspondence, reports, and other class-related information and materials. Record copy of financial files is in the Finance Department. **Disposition:** Retain 5 years after event or until no longer needed for reference, then discard. (GC 34090)

(e) **Membership.** Files contain program or activity membership applications. **Disposition:** Retain 5 years after event, then discard. (GC 34090)

(f) **Staff Training.** Files contain staff training records, presentations, manuals and materials. **Disposition:** Retain 5 years after event, then discard.

(g) **Incident and Injury Reports, and Safety Information.** Files document incidents and injuries occurring during City-sponsored programs and contain correspondence, staff notes, incident and injury reports, and safety information from recreation programs. Record copy is in Finance Department, Risk Management Division. **Disposition:** Retain in office 1 year, then discard.

(h) **Vehicle Files.** Files contain scheduled use of City recreation vans and buses, driver certifications and licenses, contact on drivers, vehicle checklists, vehicle reservation permits, correspondence, and other related information. Current driver contract and insurance information is vital. **Disposition:** Discard when superseded.

(i) **Facility Maintenance and Inspection.** Files contain work orders, maintenance reports, correspondence, notes, facility inspection records, and other materials concerning Recreation facilities.

   (1) Recreation facilities investigation and inspection materials. **Disposition:** Discard after 7 years. (California Labor Code (LC) 6429)

   (2) All other materials. **Disposition:** Discard when 2 years old or sooner if purpose is served. (GC 34090)
(j) **Routine administrative records such as sign-in sheets.** **Disposition:** Retain for 2 years after event or when no longer needed for reference, then discard. (GC 34090)

33. **Active Adults & Classes Advisory Committee Files**
Files contain meeting minutes and agendas, correspondence, budget information, reports, and studies related to the activities of the Active Adults & Classes Advisory Committee. **Disposition:** Permanent

34. **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

35. **Aquatics Advisory Committee Files**
Files contain meeting minutes and agendas, correspondence, reports, and studies related to the activities of the Aquatics Advisory Committee. **Disposition:** Permanent

36. **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)

37. **Arts and Crafts Show Advisory Committee Files**
Files contain meeting minutes and agendas, correspondence, reports, and studies related to the activities of the Arts and Crafts Show Advisory Committee. **Disposition:** Permanent

38. **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) Routine administrative records such as sign-in sheets. **Disposition:** Retain 2 years after event or when no longer needed for reference, then discard. (GC 34090)

   (c) Applications and permits. **Disposition:** Retain 5 years after event, then discard. (GC 34090)
39. Camp Registration Files
Files contain parent program evaluations, parent correspondence, calendars, program flyers, and other related materials documenting summer and winter break camp programs. **Disposition:** Retain for 2 years after event or until no longer needed for reference, then discard (GC 34090).

40. Community Center Information Files
Files contain correspondence, information, reports, studies, maps and other materials related to the historical activities and special projects of the community centers. **Disposition:** Permanent

41. Field and Facility Rental and Reservation Files
Files document indoor and outdoor facility rentals and reservations and sports field permits, and contain correspondence, facility use applications, forms, permits, policies and other associated materials. **Disposition:** Retain applications and permits 5 years after the event, then discard. Retain all other materials 2 years after event, then discard. (GC 34090)

42. Neighborhood Advisory Council Files
Files contain the minutes and agendas, correspondence, rosters, and other materials of the Neighborhood Advisory Council. **Disposition:** Permanent

43. Santa Barbara Youth Council Files
Files contain meeting minutes and agendas, correspondence, reports, and studies related to the activities of the Santa Barbara Youth Council. **Disposition:** Permanent

44. Special Events Files
Files contain correspondence, worksheets, 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 7 years, then discard. Retain all other materials 2 years after event or when no longer needed for reference, then discard. (GC 34090)

45. Sports League Files
Files document the activities and memberships of adult sports leagues and contain rosters, player sign-in sheets, correspondence, schedules, and other associated information. **Disposition:** Retain team rosters and player sign-in sheets 5 years after event, then discard. Retain all other materials 2 years, then discard. (GC 34090)

46. Tennis Advisory Committee Files
Files contain meeting minutes and agendas, correspondence, reports, and studies related to the activities of the Tennis Advisory Committee. **Disposition:** Permanent

47. Tour Files
Files document tours planned and offered by the Active Adults & Classes office and include correspondence, flyers, invoice and accounting information, release forms, and other related materials.
(a) Accounting records including duplicate purchase orders and receipts, copies of paid checks, and other related materials. **Disposition:** *Discard after 2 years.* (GC 34090.7)

(b) Tour planning records including correspondence, flyers, rosters, reservation information, and other such materials. **Disposition:** *Discard 2 years after event.* (GC 34090)

(c) Release Forms. Forms release the City from liability if a tour participant is injured during the tour. **Disposition:** *Discard 5 years after event.* (CCP 340 and 337)

**48. 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*
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.

ADMINISTRATIVE SERVICES

1. Alarm Ordinance Files
Files pertain to city ordinance that requires the tracking of false burglar alarms and the imposition of fines for false alarms over the allowable number. Current files are vital records.

   (a) Record Copy. **Disposition:** 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)

2. 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

3. Permit Files
Files contain applications for credentials, background checks, and other related information.

   (a) Taxicab and Pedicab Driver Permits. **Disposition:** Discard after 2 years. (GC 34090)

   (b) Taxicab Company Permits. **Disposition:** Discard when 3 years old or when no longer needed for reference, whichever is sooner. (GC 34090)

   (c) Massage Permits. **Disposition:** Discard after 3 years. (GC 34090)
ANIMAL CONTROL

4. 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)

5. Dog Licenses
Files contain dog licenses. Current files are vital records. **Disposition:** Discard after 3 years. (GC 34090)

6. 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)

7. 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.

8. 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)

BEAT COORDINATORS

9. Burglary Prevention Materials
Files consist of pamphlets related to crime prevention. **Disposition:** Retain one copy of each pamphlet permanently.
CHIEF’S STAFF

10. 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)

11. Internal Affairs Files
Files contain documentation of internal affairs investigations and include correspondence, reports, investigator notes, and other related information. Current files are vital records.

(a) Complaints by members of the public against police department personnel, supporting correspondence, reports, investigator notes, and other related information. **Disposition:** Discard 5 years after the investigation is complete. (California Penal Code Section 832.5)

(b) Administrative complaints against police department personnel, supporting correspondence, reports, investigator notes, and other related information. **Disposition:** Discard 2 years after the investigation is complete. (California Government Code Section 34090)

12. Press Pass Credentials
Files contain applications for credentials, background checks, and other related information. **Disposition:** Discard after 2 years. (GC 34090)

COMBINED COMMUNICATIONS CENTER

13. Logger **Digital Audio Tapes Files**
These digital audiotapes recorded files 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 files are vital records. **Disposition:** Erase/discard after 100 days. (GC 34090.6)
INFORMATION TECHNOLOGY

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

15. 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.

16. 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.

INVESTIGATIVE DIVISION

17. Case Files
Files contain photographs, reports, notes, correspondence, booking information, investigative information, witness statements, and other information related to the police investigation of criminal cases. Active cases are vital records.

(a) Capital Felony Case Files. **Disposition:** Permanent

(b) Felony Case Files. **Disposition:** Discard after 75 years. (GC 68152)

(c) Civil Action Case Files. **Disposition:** Discard after 10 years. (GC 68152)

(d) Misdemeanor Case Files. **Disposition:** Discard after 5 years. (GC 68152)

(e) Juvenile criminal case files related to homicide or sex offenses. **Disposition:** Permanent

(f) Case files concerning juveniles who have suffered, have a sibling who has suffered, or where there is substantial risk of suffering, physical, sexual, or emotional harm by parents or guardians. **Disposition:** Discard files when the subject reaches the age of 28. (GC 68152)

(g) Case files concerning juveniles who have committed acts of truancy. **Disposition:** Discard when subject reaches the age of 21. (GC 68152)
18. 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

19. Intelligence Files
These are internally generated files on organized crime, and other intelligence related files. **Disposition:** Retain for 5 years after case is inactive. (GC 34090)

20. 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)

21. Special Investigation Fund Forms
These are internally generated forms that document financial transactions for special investigations. **Disposition:** Retain for current year plus 7 years.

22. 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)

23. 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.

PARKING ENFORCEMENT

24. 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)

PATROL DIVISION

25. 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)

### 26. Daily Work Schedules
These are work schedules of operations officers out in the field. **Disposition:** Discard after 2 years. (29 CFR 516.6)

### 27. Daily Work Assignments
These are the daily work assignments (radio designation number and assigned patrol vehicle number) of operations officers out in the field. **Disposition:** Discard after 2 years. (29 CFR 516.6)

### 287. 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)

### 298. SWAT Incident Reports
Files contain maps, photographs, and debriefing information on SWAT incidents. Active reports are vital records.

(a) Files for incidents related to capital felony cases. **Disposition:** Permanent

(b) Files for incidents related to felony cases. **Disposition:** Discard after 75 years. (GC 68152)

(c) Files for incidents related to homicide or sex offenses committed by juveniles. **Disposition:** Permanent.

(d) Files for incidents related to juveniles who have suffered, have a sibling who has suffered, or where there is substantial risk of suffering, physical, sexual, or emotional harm by parents or guardians. **Disposition:** Discard files when the subject reaches the age of 28. (GC 68152)

### 3029. 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.
PROPERTY ROOM

310. 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)

321. 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)

332. Homicide Evidence Records ("187 Files")
The 187 files document the location of evidence collected in support of homicide cases. Active files are vital records. Disposition: Permanent.

RANGE

343. 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)

RECORDS BUREAU

354. Abandoned Vehicle Reports
Reports document towed abandoned vehicles and their disposition. Disposition: Discard after 2 years. (GC 34090)

36.5. 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)

376. 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)
387. Criminal History Request Files  
Files contain requests for individuals' criminal histories. **Disposition:** Discard after 2 years. (GC 34090)

398. DUI Intoxylizer Results  
These are original test results of blood alcohol levels printed from Intoxylizer machine for subjects arrested for DUI. **Disposition:** Discard records after 2 years.

4039. Field Interrogation Cards ("FI Card")  
These cards document each traffic and other stop made by an officer. **Disposition:** Discard after 2 years. (GC 34090)

410. 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)

421. 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)

432. 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)
443. **Towed Vehicle Files – Private Property**
Files of documents for private property vehicle tows. **Disposition:** *Discard records after 2 years.* (GC 34090)

45. **UCR Reports**
These reports are sent monthly to the Federal Bureau of Investigation to be included in the nation’s crime statistics. **Disposition:** *Discard records after 2 years.* (GC 34090)

46. **Civil Subpoenas**
These are civil subpoenas in which the civil case has been adjudicated. **Disposition:** *Discard records after 2 years.* (GC 34090)

47. **Public Records Act Requests**
These are requests made by the public for police records. **Disposition:** *Discard records after 2 years.* (GC 34090)

48. **Parking Citation Log**
Logs that manage parking citation books officers check out. **Disposition:** *Discard records after 2 years.* (GC 34090)

49. **Traffic Citation Log**
Logs that manage Notice to Appear citation books officers check out. **Disposition:** *Discard records after 2 years.* (GC 34090)

50. **Juvenile Detention Log**
Logs that indicate any time a juvenile is brought to the station. **Disposition:** *Discard records after 2 years.* (GC 34090)

**SPECIAL EVENTS**

5144. **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)

**SUPPORT SERVICES/BUSINESS OFFICE**

5245. **Advanced Fund Bank Reconciliations**
Monthly reconciliation of Advanced Fund bank account to make sure all monies are accounted for. **Disposition:** *Retain 2 years after the annual audit/fiscal year to which the records relate; then discard.* (GC 43900)
5346. Asset Forfeiture Financial Files
Files related to the disbursement of asset forfeiture funds. Disposition: Retain 2 years after the fiscal year to which the records relate; then discard. (GC 34090)

5447. Credit Card Transaction Receipts at Parking Counter
Individual transaction receipts and daily summary reports from parking counter payments. Disposition: Retain current year plus 2 years. (GC34090)

5548. Financial Files for Extraditions
Files related to the expenditure of funds, such as receipts, receipt stubs, invoices, and vouchers. Disposition: Retain 7 years after the fiscal year to which the records relate; then discard. (26 CFR 1.6001-1 and CCR §19141.6)

5649. Personnel Background Files (Current)
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)

570. Personnel Background Files (Former)
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)

581. Personnel Background Files (Unsuccessful)
Files document background checks conducted on applicants who did not successfully complete the application process. Current files are vital records. Disposition: Discard 5 years after materials are received.

592. 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)

6053. 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)

6154. 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.
records. **Disposition:** *Discard 25 years after employee termination or separation.* (29 CFR 1627.3 and GC 12946)

### 6255. 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)

### 6356. 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)

### 6457. 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)

## Traffic

### 6558. Daily Activity Logs
Files include daily activity logs and statistics for Traffic Safety Grants. **Disposition:** *Retain for current year plus 2 years* (GC 34090).

### 6659. Traffic Safety Grant Documents
Files include documents related to application and reporting of DUI and Seatbelt traffic grants from the CA Office of Traffic Safety. **Disposition:** *Retain current year plus 5 years.*

## Training and Recruitment

### 6067. 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)

### 6168. Job Applicant Interview Materials
Files include evaluator notes, applications, rating forms, and other related materials on applicants for police department positions who were not hired. **Disposition:** *Discard 2 years after completion of interview* (GC 34090)

### 6269. Training Materials
Files relating to training bulletins, training courses and syllabuses. **Disposition:** *Permanent*
ENGINEERING DIVISION

1. Capital Project Files
Files contain contracts, construction specifications, correspondence, reports, notes, claim forms, consulting agreements, Notices of Completion, purchase orders, and other materials documenting the design, construction, and payments related to the City's engineering construction projects. The correspondence documents the decisions the City made regarding construction engineering. Record copy of payment records is in Finance Department; record copy of reports, specifications, contracts, and agreements approved by the City Council is in the City Clerk’s Office, Administrative Services. Record copy of Purchase Order (Maintenance and Repair) specifications not requiring Council approval is in Finance Department. Current files are vital records.

(a) Design and construction Files (closed projects) (active). Files contain design and construction documents correspondence and are used to document construction design (Agreements, Technical Reports, Key Correspondence, permits and submittals).
1) Preliminary Temporary construction designs and plans. Disposition: Discard 1-2 year after completion of project or when no longer needed for reference. Caltrans project files must be kept 3 years for audit purposes. (GC 34090)
2) Final construction Permanent designs and construction files and plans. Disposition: Permanent.

(b) Engineer’s Working Files. Duplicate contracts, agreements, reports, bid specifications, purchase orders, and other duplicate records. Disposition: Retain until project completion plus 2 years, then discard. (GC 34090.7)

(c) Specifications for completed construction bids. The specifications are retained for reference in the event additional work becomes necessary on completed projects. Final
specifications are vital records. **Disposition:** Permanent.

(d) **Construction Plans** Record Drawings. Construction plans used contain the information needed by contractors to construct projects. **Current plans** are vital records. **Disposition:** Permanent.

(e) **Construction Files.** Files contain correspondence, reports, notes, Notices of Completion, and other materials concerning budgeting, personnel, and related subjects, from outside agencies and consultants. **Disposition:** Discard after 5 years or when superseded.

2. **Certain Dedicated and Undedicated Streets in the City**

Recorded deeds and maps document streets dedicated by private owners to public use. Additional formerly private undedicated streets were identified and depicted on the Official Street Map by the City Engineer, as originally directed by City Council Resolution No. 2736, and as subsequently accepted by the City in Resolution No. 2737, copies of which are in the Administrative Services Department, City Clerk’s Office. **Disposition:** Permanent

3. **Drainage 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:** Permanent

4. **Engineering Subject Files (Ongoing Projects)**

General engineering file information and files containing management and reference information about ongoing projects and issues, such as:

(a) Underground Utility Assessment Districts and Underground Utility Districts (UUAD/UUD). **Disposition:** Permanent.

(b) Laguna Channel. **Disposition:** Permanent.

(c) Mission Creek. **Disposition:** Permanent.

(d) Conejo Slide Area. **Disposition:** Permanent.

(e) Bridge Inspection Reports and Correspondence. Reports are used to track bridge conditions and include correspondence and photographs of bridges. Record copy is with Caltrans. **Disposition:** Discard after 5 years. Permanent or when superseded.

(f) Road Map. The Road Map contains information associated with public right-of-way infrastructure such as access ramp information, bridge inventory, priority access corridors, storm drain priority projects, etc. These documents assist staff in budget preparation for Streets Capital infrastructure maintenance and improvements. **Disposition:** Discard after 5 years. Permanent

Approved by Resolution No. 44-00616-, Adopted on February 14, 2014-2016
5. Maps
Engineering maps include flood maps, site plans, geologic maps, topographical maps, and other maps for the Santa Barbara area. Record copy for engineering maps is in Public Works Department, Engineering Division; record copy for planning maps is in Planning Division. USGS maps, oil field maps, geologic maps, and other maps produced by outside agencies are not 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.

6. 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.

7. Storm Drain, Water, and Sewer Atlases
Maps show the City's storm drain, water distribution and sewer locations. They document the City's water system, although they do not differentiate between city-owned and private facilities. The maps are updated to incorporate new information and to demonstrate which facilities may be maintained by the City. Current atlases are vital records.

(a) Water Department Water Plat Maps. Maps document the location and boundary lines of City water department property. **Disposition:** Permanent.

(b) Water Valve Book. Books document the location of the City's water valves and are used to locate valves if they need to be shut off. Current books are vital records. **Disposition:** Permanent.

(c) Drainage Facilities Maps. Maps document the location of storm drains and outlets, with intent to differentiate between City-owned and private facilities. The maps are updated to incorporate new information and to demonstrate which facilities may be maintained by the City. Electronic file is a vital record. **Disposition:** Discard paper copy when superseded.

(d) Topographic Maps. Maps show City topography. They are part of the Permanent Control Network and Digital Topographic Mapping Project. Electronic file is a vital record. **Disposition:** Permanent.
ACCOUNTING

8. Engineering Accounting Files
Files concern open and closed construction contracts and contain purchase orders, consulting agreements, and accounts payable materials.

(a) Duplicates of Consulting Agreements not requiring City Council approval. Record copy is in the Finance Department. **Disposition:** Retain until termination or completion and final payment and until no longer needed for reference, then discard. (41 Code of Federal Regulations (CFR) 105-71.142 and GC 34090)

(b) Consulting Agreements approved by the City Council. Record copy is in the Administrative Services Department, City Clerk’s Office. **Disposition:** Retain until termination or completion and final payment and until no longer needed for reference, then discard.

(c) All other accounting records. Record copy is in the Finance Department. **Disposition:** Discard after 2 years. (GC 34090.7)

9. Payroll Files
Files contain original leave requests, duplicate timesheets, and original project timesheets and are used to track employee hours and to charge back employee time to other departments.

(a) Employee requests for annual, sick, personal, or other types of leave. **Disposition:** Discard after 2 years.

(b) Timesheets (duplicate). These document the hours worked by each division employee. Record copy is in the Finance Department. **Disposition:** Discard after 3 years. (29 CFR 516.5, California Labor Code (CLC) 1174, and GC 34090.7)

(c) Project Timesheets. These are internal Division timesheets that document the hours worked by employees on particular projects. Files electronic. **Disposition:** Discard after 3 years.

LAND DEVELOPMENT

10. 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 and Parcel Maps are maintained permanently by the County of Santa Barbara following their recordation. Project plans, photographs, correspondence regarding land development decisions, and reports and studies related to Final Maps, Parcel Maps, and land development projects are maintained by the City. **Disposition:** Permanent.

(b) Reports and studies approved by the City Council. Record copy is in the Administrative Services Department, City Clerk’s Office. **Disposition:** Retain 1 year after completion of report or project, or discard sooner if no longer needed for reference. (GC 34090.7)

(c) Lot Split Records. Tentative lot split maps and documents relating to the subdivision ("splitting") of City lots are the product of the City’s review of lot splits and subdivisions. **Disposition:** Permanent.

(d) Subdivision Maps. Tentative subdivision maps document mergers and subdivisions, the changing and creation of street alignments, road vacations, and land subdivision, and facilitate property development. They are the product of the City’s review of lot splits and subdivisions. **Disposition:** Permanent.

**REAL PROPERTY**

11. Real Property Files
Files contain project design and right-of-way maps, public project plans, photographs, correspondence, reports, deeds, legal documents, chain of title information, insurance forms, risk management items, leases, licenses, easements, encroachment permits, and other materials related to the acquisition, management, and disposal of City-owned land and public rights-of-way inside and outside the City. Current files are vital records.

(a) Final revised design and right-of-way maps, public project plans, photographs, correspondence, significant reports having long-range importance, deeds, legal documents, chain of title data, leases, licenses, encroachment permits, and other materials regarding decisions related to City-owned real property and public rights-of-way matters. **Disposition:** Permanent.

(b) Staff working papers and preliminary maps. **Disposition:** Retain 1 year after completion of project, or discard sooner if no longer needed for reference.

(c) Reports and studies having short-term significance, and deeds, title data, leases, licenses, easements, encroachment permits and other materials (duplicate). Record copy is in the Administrative Services Department, City Clerk’s Office. **Disposition:** Retain 1 year after completion of task, report or project, or when no longer needed for reference. (GC 34090.7)
(d) Insurance forms and risk management materials (duplicate). Record copy is in the Finance Department, Risk Management Division. **Disposition:** Retain 2 years after close of project, then discard. (GC 34090.7)

(e) All other materials having no long-term significance for future reference. **Disposition:** Retain 2 years after close of project, then discard. (GC 34090 and GC 34090.7)

**Survey Office**

12. 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.

13. 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.

14. Survey Control Files
This is a reference file with data on survey monumentation within the City limits that was set by other agencies, including the U.S. Geological Survey and CalTrans. The data comes from various agencies including the United States Geological Survey and the County Surveyor. Record copy is with various agencies including the U.S. Geological Survey, the County Surveyor, and other outside agencies. Current files are vital records. **Disposition:** Permanent.

15. 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.

16. 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.
17. 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.*

18. 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.*

**TRAFFIC ENGINEERING**

19. Speed Surveys Subject Files
Files contain speed surveys. 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.*

20. Street 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, and traffic signal studies. 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 until information becomes obsolete, then discard.* (GC 34090)

(b) Transitory administrative and supporting documentation such as requests for general information and for transmittal of publications, photographs, and other informational literature. **Disposition:** *Discard after 1 year.* (GC 34090)

21. Subject Files
Files contain studies concerning schools, bikeways, traffic counts, the Annual Crash Report, Crosstown Freeway files, etc. **Disposition:** *Retain studies and other materials regarding school pick-up and drop-off patterns, safest pedestrian paths, and other materials documenting school traffic patterns until information becomes obsolete; discard transitory administrative and supporting documentation after 1 year.* (GC 34090)
22. 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. Current copies are electronic. **Disposition:** Discard after 10 years. (GC 34090.7)

**ENGINEERING DIVISION OBSOLETE RECORDS**

23. 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.

24. Assessment District Maps
Maps document projects funded by the 1911 and 1913-1915 assessment acts. This is a vital record. **Disposition:** Permanent.

25. 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.

26. 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.

27. Field Book Index
Index cards provide information about private surveys and surveys for City projects. **Disposition:** Permanent.

28. 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.

29. Sewer Book and Index
Book contains sewer profile drawings and information on applicable ordinances and dates for sewer grading (leveling). **Disposition:** Permanent.
30. Street Numbers
Index cards contain official street numbers (now superseded) for structures in Santa Barbara. **Disposition:** *Permanent.*

FACILITIES MANAGEMENT DIVISION

BUILDING MAINTENANCE

31. 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)

32. Facility Files
Files document maintenance at each City facility. **Disposition:** *Retain for life of facility; then discard.*

33. 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)

34. 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)

35. 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. Files electronic. **Disposition:** *Discard after 2 years.* (GC 34090)

36. Work Orders
Work orders document maintenance requests for City facilities. Files electronic. **Disposition:** *Discard after 2 years.* (GC 34090)
CUSTODIAL

37. 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)

ELECTRONIC MAINTENANCE

38. 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)

39. 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)

40. 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.

41. 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)

42. Traffic Signal Monthly Work Orders
The work orders document maintenance work completed on traffic signals on a quarterly and annual basis. Files electronic. Disposition: Discard after 2 years. (CCP 340)

43. Work Order Reports
Reports document the work completed each month by each employee, including information on which City department required the work. Files electronic. Disposition: Discard after 2 years. (GC 34090)
ENVIRONMENTAL COMPLIANCE

44. Project Files
Files document maintenance projects such as those requiring Leaking Underground Fuel Tank (LUFT) and Site Mitigation Unit (SMU) assessments and remedial activities. 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)

ENERGY MANAGEMENT

45. Project Files
Files document maintenance projects for energy efficiency, energy generation project management, and electrical and gas utility coordination. 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)

FLEET MANAGEMENT DIVISION

46. Accounts Payable
Files contain the original purchase orders for the Motor Pool. **Disposition:** Discard after 2 years. (GC 34090.7)

47. 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.

48. 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.

49. 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)

50. 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.
51. 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.

TRANSPORTATION DIVISION

DOWNTOWN PARKING

52. Billing Files
Files document money parking fees owed for the use of the public parking structures and lots by the public for parking in parking structures. **Disposition:** Discard after 2 years after account is settled balance is paid in full. (GC 34090.7)

53. Downtown Parking Committee Agenda and Minutes Files
Files contain the written agendas and minutes, audiotapes of meetings, correspondence, information about the committee members, staff reports, and other materials pertaining to the activities and business of the Downtown Parking Committee. This Committee was appointed by the City Council.

(a) Written minutes and agendas Agendas, minutes, and materials submitted to the committee during a meeting. **Disposition:** Permanent.

(b) Routine correspondence and documents pertaining to the schedule of meetings, public speaking slips, annual recruitment, voluntary attendance sheets for guests of meetings, term limits, and administrative procedures for an advisory board appointed by City Council. **Disposition:** Discard after 1 year or when no longer needed for reference.

(a)(c) Audiotapes of meetings. **Disposition:** See Records Common To Most Offices Series 3.

54. Resident Parking Program Location Files
Files contain the administrative correspondence, resident applications, participant contact information, traffic and parking studies, and documents pertaining to the residential parking zones and boundaries.

(a) Files document the resident parking program that issues permits to residents allowing them to park on the street near their residence and contain correspondence and tracking paperwork. **Disposition:** Discard 2 years after expiration of permit. (GC 34090)

(b) Information sheets containing contact and other information about residential parking program permit applicants. **Disposition:** Discard 2 years after expiration of permit or submittal of incomplete application. (GC 34090)
(c) Petitions and correspondence pertaining to a change to the boundaries of an existing residential parking zone, the formation of a new residential parking zone, or changes to on-street signage and enforcement. Disposition: Permanent.

(d) Traffic, residential parking, and parking demand studies. Record copy is in the Public Works Engineering Division. Disposition: Discard when no longer needed for reference.

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)

55. Monthly Parking Program Information Files
Files contain contact and car registration information on parking permit holders. Disposition: Discard 2 years after expiration of permit. (GC 34090)

56. 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)

57. 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)

58. 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)

59. **Parking Redevelopment Agency Project Files**
Files contain copies of redevelopment agency agreements to operate parking lots and related correspondence. **Record copy of files is in the Community Development Department.** **Disposition:** Retain for life of agreement plus 2 years, then discard when no longer needed for reference. (GC 34090)

60. **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.

(b) All other material. **Disposition.** Discard after 5 years or when no longer needed for reference. (GC 34090)

(c) Inspection Reports. Disposition: Discard after 5 years or when no longer needed for reference.

61. **Parking Supervisor Operations Files**
Files contain correspondence, data, reports, flyers, newspaper clippings, and other parking-related materials and information. **Disposition:** Discard after 2 years. (GC 34090)

62. **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)

63. **Treasury and Revenue Reports**
Files document daily revenue bank deposits, internal revenue and discrepancy reports, and other financial information relating to the various functions of the Downtown Parking Program. Record copy is in the Finance Department. **Disposition:** Discard after 2 years. (GC 34090.7)
64. Vendor History Files
Files document vendor interactions. **Disposition:** Discard 2 years after expiration of vendor permit or when no longer needed for reference. (GC 34090)

65. Historical Parking Districts Files
Files document the construction, financing, correspondence, staff reports, and public presentations related to the formation of the Parking Districts. Record copy of construction related documents is in the Public Works Engineering Division; record copy of financial related documents is in the Finance Department.

(a) Parking Program correspondence and reports regarding parking districts activities for which there is no duplicate record. **Disposition:** Permanent.

(b) Duplicate correspondence, reports, and agreements for which record copy is maintained by other City departments. **Disposition:** Discard when no longer needed for reference.

STREETS

65. Project Files
Files include contracted maintenance and/or repair project files, bid specifications, purchase orders, insurance certificates, and correspondence regarding concrete sidewalk replacements, planned or emergency storm drain pipe or inlet repairs, debris clearing, masonry wall repairs, and guardrail repairs. **Disposition:** Discard after 10 years or when no longer needed for reference. (CCP 337.15 and 337.1)

66. Street Maintenance Location Files
Files contain correspondence, reports, complaints, and other materials related to repairs and maintenance of sidewalks, including pedestrian walkways and bridges; curbs; pavement; pavement markings and striping; curb markings; traffic and street signage; storm drains; and graffiti abated on public right-of-way property. Current files are vital records. **Disposition:** Discard after 10 years or when no longer needed for reference.

67. Street Maintenance Subject Files
Files contain correspondence, reports, complaints and other materials related to specific subjects. Current files are vital records.

(a) Laguna Pump Station, Laguna Channel, and Laguna Tide Gates. Files include contracts and purchase orders for maintenance of equipment and facility; vegetation and/or silt clearing; and related permit files from agencies such as the California Department of Fish and Game. **Disposition:** Discard after 20 years or when no longer needed for reference.

(b) Street Sweeping Subject Files. Files contain maps of routes, sweeping schedules, records of debris collected, mileage swept, and street sweeping parking citations. Also included
are bid specifications and contracts with street sweeping contractors. **Disposition:**
*Discard after 10 years or when no longer needed for reference.*

(c) Graffiti Abatement files. Files include locations of private property given 3-Day Notices by Streets staff to remove graffiti, graffiti removal permission forms from private property owners, and billing records for graffiti abatement for private property owners. **Disposition:** *Discard after 5 years or when no longer needed for reference.*

(d) City Annex Yard (401 E. Yanonali St). Files include records of agreements with other City divisions which use and share costs for utilities, repairs and maintenance, yard monitoring, and disposal services, and agreements with outside agencies for use of the Annex Yard. **Disposition:** *Discard after 5 years or when no longer needed for reference.*

68. Supervisor Desk Files
Files include supervisors’ notes regarding ongoing projects and personnel issues. **Disposition:**
*Discard after 10 years or when no longer needed for reference.*

69. Transportation Planning Subject 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)

**WATER RESOURCES DIVISION**

70. Board of Water Commissioners Minutes
Files contain minutes of Board of Water Commissioners meetings. **Disposition:** *Permanent.*
71. Water Resources Project and Location Files
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 or when no longer needed. (GC 34090)

72. 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)

**WATER DISTRIBUTION**

73. **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)

74. **Geological Log**
Logs record calculations and geological information associated with the construction of Mission Tunnel and municipal groundwater wells. **Disposition:** Permanent.

75. **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.

76. **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.

77. **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)

78. **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:** Discard after 10 years.

79. **Safety Meeting Minutes**
These are minutes of staff safety meetings at which safety procedures are discussed. **Disposition:** Discard after 3 years.
80. 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.

81. 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)

82. 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 in electronic format and are vital records. **Disposition:** Discard after 6 years.

**Wastewater Collection**

83. Safety Meeting Minutes
These are minutes of staff safety meetings at which safety procedures are discussed. **Disposition:** Discard after 3 years.

84. 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.

85. 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.

86. Wastewater 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 6 years.

**Laboratories**

87. Annual Water Quality Report
These reports are submitted to the California State Department of Public Health, Division of Drinking Water and Environmental Management – Drinking Water Program (CADPH – DDWEM-DWP) and document the quality of the City of Santa Barbara's wastewater and drinking water. Separate reports are generated for wastewater and drinking water. Current reports are electronic and vital records. **Disposition:** Permanent.
88. Fire Hydrant and 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)

89. Laboratory Equipment Maintenance Files
Files are used for quality control monitoring and document repairs to laboratory equipment. Files include correspondence, work request orders, and maintenance records, 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)

90. Raw Data Files
Wastewater and drinking water monitoring data. Reports to the CADPH DDWEM-DWP are based on this data. Current raw data is a vital record.

(a) Wastewater 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)

91. Safety Meeting Minutes
These are minutes of staff safety meetings at which safety procedures are discussed. **Disposition:** Discard after 3 years.

92. Water and Wastewater Inorganic Trace Metals
Files contain raw data documenting inorganic trace metals found in water and wastewater. Current files are vital records. **Disposition:** Discard after 5 years. (HSC 25200.3)

WASTEWATER TREATMENT

93. 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. Discard after 3 years.
(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:** Permanent, Discard after 3 years. (40 CFR 61.14, HSC 42705 and 44019)

94. 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 6 years.

95. Safety Meeting Minutes
These are minutes of staff safety meetings at which safety procedures are discussed. **Disposition:** Discard after 3 years.

96. 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:** Discard after 6 years.

WATER TREATMENT

97. Annual Reports
Annual reports of the activities of the Cater Water Treatment Plant. **Disposition:** Permanent.

98. Billing Files
Files contain documentation for billings sent to South Coast water users, including Carpinteria and Montecito. Record copy is in the Finance Department. **Disposition:** Discard after 2 years.

99. Daily Logs of Water Treatment Facility
Reports contain daily information on water temperature, turbidity, chlorine levels, amount of chemicals used, odor, taste, and other water quality data. Daily logs for current month plus one are vital records. **Disposition:** Retain for life of facility. (CA PUC Res. #A-4691)

100. 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.
101. General Information Files
Files contain reservoir specifications for Sheffield Dam, annual reports, and information on water treatment and related issues.

(a) Sheffield Dam Specifications. **Disposition:** Permanent.

(c) Annual Reports for Water Treatment Section and reservoirs. **Disposition:** Permanent.

(d) Reference information concerning to water treatment and related issues. **Disposition:** Retain for life of the facility. (GC 34090)

102. Maintenance Files
Files contain information and maintenance documentation for each piece of equipment and each facility associated with treatment of the City's water. Current files are vital records.

(a) Facility-related materials. **Disposition:** Retain for life of the facility. (CA PUC Res. #A-4691)

(b) Equipment-related materials. **Disposition:** Retain for life of equipment or as needed for reference, then discard. (CA PUC Res. #A-4691)

103. 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:** Retain for 10 years after site closure.

Files contain summarized information from the Daily Logs. The first year of the file's existence the summary was handwritten, since then, the file has been maintained in electronic format. **Disposition:** Retain for life of the facility. (CA PUC Res. #A-4691)

105. Plant Operator Daily Logs
These are logs of daily activities of Cater Water Treatment Plant operators. **Disposition:** Discard after 6 years.

106. Safety Meeting Minutes
These are minutes of staff safety meetings at which safety procedures are discussed. **Disposition:** Discard after 3 years.

107. Specification Sheets
These are as-built records for all the City's water treatment facilities. Specification sheets for existing facilities are vital records. **Disposition:** Retain for life of facility, then discard.
108. Well and Water Quality Files
Files contain data on wells, water levels, and water quality in Santa Barbara. **Disposition:** Permanent.

WATER SUPPLY MANAGEMENT DIVISION

109. 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)

110. Water Supply Management and Water Conservation 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, recycled water, water conservation, and related topics.

(a) Division staff reports, correspondence relating to policy and water supply planning, water reclamation, and water district decisions, as well as technical logs, well data, hydrology data, and water supply data for various rivers/creeks. **Disposition:** Permanent.

(b) Duplicate reports, correspondence, and reference information maintained by other City departments or received by the Water Supply Management Division by outside agencies. **Disposition:** Discard after 2 years. (GC 34090.7)
CITY OF SANTA BARBARA, CA
WATERFRONT DEPARTMENT

Unless specifically indicated otherwise, the record copy of all records listed in this records schedule is located in the Waterfront Department. If no other instructions exist, copies other than the record copy may be treated as duplicates and discarded when obsolete or no longer needed for reference.

Retention and disposition instructions for records commonly found in most City offices, including routine administrative and housekeeping records are listed in a separate schedule entitled "Records Common to Most Offices."

If no legal retention authority is cited, retention period is based on standard records management practice and experience of History Associates Incorporated.

Business Office

1. Administrative Files
Files contain correspondence, memoranda, reports, plans, maps, and other materials related to Waterfront manager activities and topics such as personnel, management, harbor events, harbor publicity, dredging, boat slips, and marine issues.

(a) Waterfront manager correspondence, memoranda, and reports concerning departmental policies, programs, events, personnel, and related administrative issues. Disposition: Retain 5 years or until no longer needed for reference. (California Government Code (GC) 34090)

(b) Duplicate plans and maps of Waterfront facilities. Record copy is in the Public Works Department, Engineering Division. Disposition: Retain 2 years or until no longer needed for reference. (GC 34090.7)

2. Business Activity Reports
Yearly permits to conduct business (i.e., clean boats, repair boats, or run charter boats) in the harbor area. Disposition: Discard 2 years after termination of permit. (GC 34090)

3. Cash Register Tapes
These cash register receipt tapes are from parking kiosks, the department's front counter, and the Harbor Patrol Office and serve as backup documentation to the Treasury Reports. Disposition: Discard after 2 years. (GC 34090)
4. **Commemorative Plaque Program**
Files contain records related to the placement of commemorative plaques at trees or on benches located in the Waterfront area. Records also document a funding mechanism for the planting of trees and placement of benches in specified locations in the Harbor. **Disposition:** Retain for 10 years, then discard.

5. **Daily Parking Kiosk Revenue Reports ("Tear Sheets")**
These are internal daily reports on money collected at the Parking/Information Kiosks. They are used for internal audits on monies received. **Disposition:** Discard after 2 years. (GC 34090)

6. **Engineering Project Files ("Facility Location Files")**
These are engineering project files that consist of project design, construction, and accounting files and include correspondence, reports, photographs, plans, maps, copies of contracts, and other related materials. The files document dredging in the harbor, marina expansion, harbor maintenance, and other harbor construction related activities. Current files are vital records.

   (a) Final maps, plans, designs; photographs; staff reports; project correspondence; and construction files. Record copy is in the Public Works Department. **Disposition:** Discard when no longer needed for reference. (GC 34090.7)

   (b) Accounting Files. Record copy is in the Finance Department. **Disposition:** Retain until project completion plus 2 years. (GC 34090.7)

   (c) Contracts (duplicates). These are duplicates of Public Works contracts that require City Council approval. Record copy is in the Administrative Services Department, City Clerk’s Office. **Disposition:** Discard upon termination or completion and final payment.

7. **Environmental Impact Reports**
Environmental impact reports contain historical and environmental information about projects in the Harbor Area. They are retained for reference purposes. Record copy is in the Community Development Department. **Disposition:** Discard when no longer needed for reference. (GC 34090.7)

8. **Film Permit Files**
Files contain permits for production companies to film in the waterfront area, as well as correspondence and other related materials. **Disposition:** Discard after 4 years. (California Code of Civil Procedure (CCP) 337)

9. **Harbor Commission Files**
Files contain Harbor Commission meeting minutes and agendas, agenda packets, correspondence, reports, studies, and other materials related to harbor issues such as Stearns Wharf, grand jury investigations, and commission activities. **Disposition:** Permanent
10. Harbor and Outer Lot Permits
These are annual parking permits for the Waterfront parking lots. **Disposition:** Discard 2 years after expiration of permit. (GC 34090)

11. Litigation Files
Files contain notes, drafts, backup information, and other materials related to litigation cases. Some information is duplicate of City Attorney records. **Disposition:** Retain for 10 years for reference, then discard.

12. Parking ("Honor Fee") Cash Records
These are daily parking cash records for the "honor" lots that are not controlled by kiosks. **Disposition:** Discard after 2 years. (GC 34090)

13. Permanent Employee Benefit Accrual Usage Reports
Reports document the benefits accrued by each permanent Waterfront Department employee. Record copy is in the Finance Department. **Disposition:** Discard after 2 years. (GC 34090.7)

14. Slip Files
Files contain correspondence, forms, contact information, payment records, reports, notes, and other information documenting active and terminated (boat) slips and their tenants. Current files are vital records. **Disposition:** Discard 4 years after termination or breach of slip agreement. (CCP 337)

15. Slip Waiting List
Files contain contact information for individuals on the waiting list to acquire a slip permit or rent a slip, as well as associated correspondence and related materials. **Disposition:** Retain until superseded.

16. Special Event Files
Files document parking and other activities related to special events, especially those that involve the harbor area, and consist of correspondence, reports, notes, and other associated materials. **Disposition:** Discard after 2 years or when no longer needed for reference. (GC 34090)

17. Stearns Wharf Fire Records
Files document the Stearns Wharf fire and its aftermath. They contain correspondence, reports, photographs, and other related materials. **Disposition:** Permanent

18. Tenant Billing Records
Monthly billing records for business tenants on Stearns Wharf and in the Harbor area. Included are invoice copies and payment records. Record copy is in the Finance Department. **Disposition:** Discard after 2 years. (GC 34090.7)

19. Transfer Receipt Book
Receipt book contains documentation for the transfer of boat slips from one tenant to another. Record copy is in the Finance Department. **Disposition:** Discard after 2 years. (GC 34090.7)
20. Treasury Reports/Receipts
Treasury reports document money collected at the parking kiosks, department front counter, and Harbor Patrol office. The original receipts are sent to the Finance Department; copies and the validation receipt are returned to the Waterfront Department. Record copy is in the Finance Department. **Disposition:** *Discard after 2 years.* (GC 34090.7)

21. Waterfront Department Files
Files contain correspondence, reports, merchant lease agreements, planning documents, event files, and other materials related to Stearns Wharf, the harbor, boat slips, merchants in harbor and wharf areas, and the development of mooring and anchoring regulations.

(a) Correspondence and reports concerning the development of Santa Barbara’s waterfront area, waterfront planning documents, correspondence and reports concerning merchant lease policies in the waterfront area. **Disposition:** *Permanent*

(b) Merchant Lease Agreements. Agreements between the City and merchants who wish to establish businesses in the waterfront area. These leases require City Council approval. Record copy is in the Administrative Services Department, City Clerk’s Office. **Disposition:** *Retain for life of lease plus 2 years; then discard.* (GC 34090.7)

(c) Mooring and Anchoring Regulations.
   (1) Information compiled and used to enact rules and regulations for the issuance of mooring permits, setting of minimum specifications for the installation, inspection and repair of such moorings, and the establishment of a list of contractors approved to install and inspect moorings. **Disposition:** *Permanent*
   (2) Mooring Permits. **Disposition:** *Retain 4 years after termination, then discard.*

FACILITIES MANAGEMENT

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

23. Stearns Wharf Administrative Subject Files
Files contain equipment maintenance records, work and maintenance schedules, procedures, ongoing project files and status reports, specifications, California codes, waste manifests, and pile driving contracts.

(a) Pile Driving Contracts. These contracts do not require City Council approval. Current pile driving contracts are vital records. **Disposition:** *Retain until termination or completion and final payment plus 5 years.* (41 CFR 105-71.142 and GC 34090)

(b) Project Files. **Disposition:** *Permanent*
(c) Equipment Maintenance Files. **Disposition:** Retain for the life of the equipment, as needed for reference.

(d) Specifications. Current specifications are vital. **Disposition:** Retain until termination or completion of project and final payment plus 5 years. (41 CFR 105-71.142 and GC 34090)

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

24. Stearns Wharf Plans
These are as-built and working plans for Stearns Wharf. Current plans are vital records. **Disposition:** Permanent (hard copy)

25. Stearns Wharf Safety Files
Files contain training, meeting, and incident documentation including correspondence, reports, and other related materials.

   (a) Training and meeting materials. **Disposition:** Discard after 5 years or when superseded. (GC 34090)

   (b) Incident records including reports and correspondence. **Disposition:** Discard 5 years after the end of the year to which they relate. (29 CFR 1904.6)

HARBOR OPERATIONS

26. California Law Enforcement Telecommunications System ("CLETS") Forms
Forms and associated correspondence document which employees have access to the telecommunications system. **Disposition:** Discard when superseded.

27. Case Logs
Logs document incidents on the waterfront that require Harbor Patrol involvement. **Disposition:** Discard 10 years after the case is closed. (California Harbors and Navigation Code (HNC) and GC 68152)

28. Case Reports
Reports contain information on incidents in the harbor that required Harbor Patrol involvement. **Disposition:** Discard 10 years after the case is closed. (HNC 1180.3 and GC 68152)

29. Citation Logs
Logs document citations written by the Harbor Patrol for infractions (disturbing the peace, littering, etc.) in the waterfront area. **Disposition:** Discard after 5 years. (GC 68152)
30. Cruise and Race Files
Files contain correspondence, memoranda, reports, information sheets, newspaper clippings, and other materials documenting cruises and boat races in the harbor area. **Disposition:** Discard after 2 years. (GC 34090)

31. Harbor Patrol Subject Files
Files contain correspondence, memoranda, reports, ride along program information, permits for buoys, contract surveys, high surf warning signs, MSDS inspection sheets, and other materials related to Harbor Patrol functions.

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

(b) Buoy Permits. Disposition: Discard after 5 years or when superseded. (GC 34090)

(c) All other records. **Disposition:** Retain in office 2 years, then discard. (GC 34090)

32. Impound and Found Property Reports
Reports document items found or impounded (i.e., boats) in the harbor. Items of minimal value are kept in the Harbor Patrol Office; valuable items are sent to the Police Department. **Disposition:** Retain 1 year after property is found or impounded. (CCP 340)

33. Permits for Vessel Storage
Records document permission to store boats on an annual or seasonal basis on West Beach, Cat Beach, Skiff Row, and East Beach mooring areas. **Disposition:** Discard 2 years after permit is terminated.

34. 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

35. 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)

36. Slip Checks
The slip checks document that the Harbor Patrol checks twice per day whether visitor slips have been vacated. **Disposition:** Discard after 2 years. (GC 34090)

37. Vessel Lien Sale Records
Records document the sale of impounded vessels through a lien sale process. **Disposition:** Retain for 4 years.
38. 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)

39. 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

<table>
<thead>
<tr>
<th>Citation Used in Schedules</th>
<th>Authority Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>CA B &amp; P</td>
<td>California Business and Professions Code</td>
</tr>
<tr>
<td>CA CDBG Manual</td>
<td>California Community Development Block Grant Manual</td>
</tr>
<tr>
<td>CA PUC Res. #A-4691</td>
<td>California Public Utilities Commission Resolution #A-4691</td>
</tr>
<tr>
<td>CCP</td>
<td>California Code of Civil Procedure</td>
</tr>
<tr>
<td>CCR</td>
<td>California Code of Regulation</td>
</tr>
<tr>
<td>CFR</td>
<td>Code of Federal Regulations</td>
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<tr>
<td>GC</td>
<td>California Government Code</td>
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<tr>
<td>HNC</td>
<td>California Harbors and Navigation Code</td>
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<tr>
<td>HSC</td>
<td>California Health and Safety Code</td>
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<td>IC</td>
<td>California Insurance Code</td>
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<td>LC</td>
<td>California Labor Code</td>
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<tr>
<td>NARUC</td>
<td>National Association of Regulatory Utility Commissioners</td>
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<tr>
<td>PC</td>
<td>California Penal Code</td>
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<tr>
<td>SBCC</td>
<td>Santa Barbara County Code</td>
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<td>SBMC</td>
<td>Santa Barbara Municipal Code</td>
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<tr>
<td>SHC</td>
<td>California Streets and Highways Code</td>
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<tr>
<td>VC</td>
<td>California Vehicle Code</td>
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<tr>
<td>UFC</td>
<td>Uniform Fire Code</td>
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## Legal Research Concerning Records of the City of Santa Barbara, California

<table>
<thead>
<tr>
<th>Citation</th>
<th>Type</th>
<th>Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 CFR 293.511</td>
<td>R</td>
<td>Retain employee occupational medical records for the duration of employment, plus 30 years.</td>
</tr>
<tr>
<td>8 CFR 274a.2</td>
<td>R</td>
<td>Retain form I-9 for 3 years after the date of hire or 1 year after termination, whichever is later.</td>
</tr>
<tr>
<td>14 CFR 107.23</td>
<td>R</td>
<td>Retain a record of airport law enforcement actions for a minimum of 90 days.</td>
</tr>
<tr>
<td>14 CFR 108.33</td>
<td>R</td>
<td>Retain airport employment history investigation files 180 days after employee termination.</td>
</tr>
<tr>
<td>14 CFR 139.327</td>
<td>R</td>
<td>Retain airport inspection records for 6 months.</td>
</tr>
<tr>
<td>14 CFR 151.55</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>24 CFR 92.508</td>
<td>R</td>
<td>- 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 documenting 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.</td>
</tr>
<tr>
<td>24 CFR 92.508</td>
<td>R</td>
<td>- 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.</td>
</tr>
<tr>
<td>24 CFR 570.490</td>
<td>R</td>
<td>Retain Community Development Block Grant Program materials for 3 years after the closeout of the grant to the state.</td>
</tr>
<tr>
<td>26 CFR 1.6001-1</td>
<td>I</td>
<td>Retain accounting records so long as the contents thereof may become material in the administration of any internal revenue law.</td>
</tr>
<tr>
<td>26 CFR 31.6001-1</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>28 CFR 66.42</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>29 CFR 516.5</td>
<td>R</td>
<td>Retain payroll records, collective bargaining agreements, employment contracts, and sales and purchase records for 3 years.</td>
</tr>
<tr>
<td>29 CFR 516.6</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>29 CFR 1627.3</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>29 CFR 1904.4</td>
<td>R</td>
<td>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.</td>
</tr>
</tbody>
</table>

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I=Information; R=Information that may be helpful in assigning retention periods

Approved by Resolution No. 16-, Adopted on February 9, 2016
<table>
<thead>
<tr>
<th>Citation</th>
<th>Type</th>
<th>Content</th>
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</thead>
<tbody>
<tr>
<td>29 CFR 1904.6</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>29 CFR 1910.1020(d)</td>
<td>R</td>
<td>Retain employee exposure and medical records for the duration of employment plus 30 years.</td>
</tr>
<tr>
<td>29 CFR 1910.1200(g)</td>
<td>I</td>
<td>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.</td>
</tr>
<tr>
<td>40 CFR 60.153</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>40 CFR 61.14</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>40 CFR 122.21</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>40 CFR 122.41</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>40 CFR 270.10</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>40 CFR 280.45</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>40 CFR 372.10</td>
<td>R</td>
<td>Retain toxic chemical release reports and supporting documentation for 3 years.</td>
</tr>
<tr>
<td>40 CFR 403.12</td>
<td>R</td>
<td>Pretreatment facilities must maintain monitoring records and reports for a minimum of 3 years.</td>
</tr>
<tr>
<td>40 CFR 763.121</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>41 CFR 105-71.142</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>44 CFR 13.42</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>47 CFR 80.405</td>
<td>I</td>
<td>Current maritime radio station licenses and the most recently expired license must be kept on site.</td>
</tr>
</tbody>
</table>

Approved by Resolution No. 16-, Adopted on February 9, 2016 144


I=Information; R=Information that may be helpful in assigning retention periods
### Legal Research Concerning Records of the City of Santa Barbara, California

<table>
<thead>
<tr>
<th>Citation</th>
<th>Type</th>
<th>Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>49 CFR 653.71</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>49 CFR 654.51</td>
<td>R</td>
<td>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.</td>
</tr>
</tbody>
</table>
| 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. |

I=Information; R=Information that may be helpful in assigning retention periods

Approved by Resolution No. 16-, Adopted on February 9, 2016
| Citation         | Type | Content                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|------------------|------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------
| CCP 338 (continued) | I    | Within 3 years:<br>• An action commenced under the Porter-Cologne Water Quality Control Act.<br>• 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.<br>• 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:<br>• An action upon a contract, obligation or liability not founded upon an instrument of writing.<br>• 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.<br>• An action based upon the rescission of a contract not in writing.                                                                                                                                                                                                                                                                                                                                                         |
| CCP 340          | I    | Within 1 year:<br>• 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.<br>• An action upon a statute for a forfeiture or penalty to the people of this state.<br>• 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.<br>• 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.<br>• 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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<tbody>
<tr>
<td>GC 26907.1</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>GC 27001</td>
<td>R</td>
<td>The treasurer may destroy certificates of the auditor after 5 years.</td>
</tr>
<tr>
<td>GC 34090</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>GC 34090.6</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>GC 34090.7</td>
<td>R</td>
<td>Duplicates of city or county records less than 2 years old may be destroyed if they are no longer required.</td>
</tr>
<tr>
<td>GC 54953.5</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>GC 65583.1</td>
<td>I</td>
<td>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.</td>
</tr>
<tr>
<td>GC 68152</td>
<td>I</td>
<td>Trial court clerks may destroy court records when the following times have expired after final disposition of the case.</td>
</tr>
<tr>
<td></td>
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<td>- Retain capital felony case files permanently.</td>
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<td>- Retain felony case files for 75 years.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Retain civil action files and small claims case files for 10 years.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Retain search warrants for 10 years except if issued in connection with a capital felony, then retain permanently.</td>
</tr>
<tr>
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<td></td>
<td>- Retain misdemeanor case files for 5 years.</td>
</tr>
<tr>
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<td>- Retain infraction case files for 3 years.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Retain parking infraction case files for 2 years.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Retain juvenile criminal case files related to homicide or sex offenses until the subject reaches the age of 38.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- 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.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Retain case files concerning juveniles who have committed acts of truancy until the subject reaches the age of 21.</td>
</tr>
<tr>
<td>GC 81009</td>
<td>I</td>
<td>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.</td>
</tr>
<tr>
<td>HNC 1180.3</td>
<td>R</td>
<td>Retain incident investigation materials regarding licensed pilots for 10 years after the investigation is complete.</td>
</tr>
<tr>
<td>HSC 19850</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>HSC 25200.3</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>HSC 42705</td>
<td>R</td>
<td>Any stationary source of air pollution must retain monitoring records for 2 years.</td>
</tr>
<tr>
<td>Citation</td>
<td>Type</td>
<td>Content</td>
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</tr>
<tr>
<td>HSC 44019</td>
<td>R</td>
<td>Retain certificates of vehicular air pollution compliance for 3 years.</td>
</tr>
<tr>
<td>IC 10508.5</td>
<td>R</td>
<td>Retain life insurance, life and disability insurance, and disability insurance materials for 5 years.</td>
</tr>
<tr>
<td>LC 1174</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>LC 5500.5</td>
<td>I</td>
<td>Workers Compensation liability for occupational disease or cumulative injury claims extends 1 year after the claim is filed.</td>
</tr>
<tr>
<td>LC 6429</td>
<td>R</td>
<td>Retain occupational safety and health investigation and inspection materials and citations for 7 years.</td>
</tr>
<tr>
<td>PC 832.5</td>
<td>R</td>
<td>Retain complaints and reports or findings relating to complaints about peace officers for 5 years.</td>
</tr>
<tr>
<td>PC 6126.3</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>PC 11106</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>SHC 128</td>
<td>I</td>
<td>Retain final construction plans and right-of-way record maps for all completed state highway projects located within the district.</td>
</tr>
<tr>
<td>VC 1808</td>
<td>I</td>
<td>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.</td>
</tr>
<tr>
<td>CA CDBG Manual, Chapter 7</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>CA PUC Res. #A-4691</td>
<td>R</td>
<td>Public Utilities Commission Regulations to Govern the Preservation of Records of Water Utilities, Classes A, B, and C.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>▪ Accounting assignments, attachments, and garnishments may be discarded at the discretion of the facility.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>▪ Accounts receivable and supporting records must be retained for 7 years.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>▪ Customer service records must be retained for 5 years.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>▪ Equipment repair records must be retained for the life of the equipment.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>▪ Maintenance work and job orders must be retained for 6 years.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>▪ Water treatment records must be retained for 10 years.</td>
</tr>
<tr>
<td>CCR §1175</td>
<td>R</td>
<td>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.</td>
</tr>
<tr>
<td>CCR §14307</td>
<td>R</td>
<td>Retain records of occupational injury or illness for 5 years following the end of the year to which they relate.</td>
</tr>
<tr>
<td>CCR §19141.6</td>
<td>I</td>
<td>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.</td>
</tr>
<tr>
<td>NARUC 23.3a</td>
<td>R</td>
<td>Retain operator's daily logs and reports of operation in the transmission and distribution of water for 6 years.</td>
</tr>
<tr>
<td>SBCC 10-2.4</td>
<td>R</td>
<td>Retain building permit records and all other pertinent transactions of the building division permanently.</td>
</tr>
<tr>
<td>SBCC 17-13</td>
<td>R</td>
<td>Retain operating records of solid waste and utilities for 4 years following the termination of any franchise, contract, or permit.</td>
</tr>
<tr>
<td>SBMC 4.08.150</td>
<td>R</td>
<td>Retain transient occupancy tax records for 3 years.</td>
</tr>
<tr>
<td>Citation</td>
<td>Type</td>
<td>Content</td>
</tr>
<tr>
<td>--------------</td>
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</tr>
<tr>
<td>SBMC 4.24.150 R</td>
<td>Retain utility services tax records for 3 years.</td>
<td></td>
</tr>
<tr>
<td>SBMC 4.36.180 R</td>
<td>Retain parking and business improvement area tax records for 3 years.</td>
<td></td>
</tr>
<tr>
<td>SBMC 4.52.060 R</td>
<td>Retain written quotations for contracts under $25,000.00 and open market orders for 1 year after the submission of quotes or the placing of orders.</td>
<td></td>
</tr>
<tr>
<td>SBMC 6.12.030 I</td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>1997 UFC, 103.3.4 R</td>
<td>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.</td>
<td></td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Dept./Div.</th>
<th>Title</th>
<th>Original Medium</th>
<th>All or Current</th>
<th>Type of Vital Record</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Departments/Divisions</td>
<td>Bid Awards, Contracts, and Agreements</td>
<td>HA</td>
<td>C</td>
<td>E, R &amp; I</td>
<td>Routine procurement records only</td>
</tr>
<tr>
<td>All Departments/Divisions</td>
<td>Complaints</td>
<td>HA</td>
<td>C</td>
<td>R &amp; I</td>
<td>Complaints relating to environmental violations only</td>
</tr>
<tr>
<td>All Departments/Divisions</td>
<td>Time Cards</td>
<td>HA</td>
<td>C</td>
<td>R &amp; I</td>
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<tr>
<td>Administrative Services:</td>
<td>Charter of City of Santa Barbara</td>
<td>HA</td>
<td>C</td>
<td>R &amp; I</td>
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</tr>
<tr>
<td>City Clerk</td>
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<tr>
<td>Administrative Services:</td>
<td>Grant Deeds</td>
<td>HA</td>
<td>C</td>
<td>R &amp; I</td>
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<td>City Clerk</td>
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<tr>
<td>Administrative Services:</td>
<td>Municipal Code</td>
<td>HA</td>
<td>C</td>
<td>R &amp; I</td>
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<td>Human Resources</td>
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<td>Administrative Services:</td>
<td>Eligibility Files</td>
<td>HA</td>
<td>All</td>
<td>R &amp; I</td>
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<td>Administrative Services:</td>
<td>Examination Files</td>
<td>HA</td>
<td>All</td>
<td>R &amp; I</td>
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<td>Administrative Services:</td>
<td>Tuberculosis Records</td>
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<td>All</td>
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<tr>
<td>Administrative Services:</td>
<td>Benefit Files (active employee)</td>
<td>HA</td>
<td>All</td>
<td>R &amp; I</td>
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<td>Benefits Office</td>
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<tr>
<td>Administrative Services:</td>
<td>Benefit Files (retiree)</td>
<td>HA</td>
<td>All</td>
<td>R &amp; I</td>
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<tr>
<td>Administrative Services:</td>
<td>COBRA Files</td>
<td>HA</td>
<td>All</td>
<td>R &amp; I</td>
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<tr>
<td>Administrative Services:</td>
<td>System Documentation</td>
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<td>Aircraft Incident Reports</td>
<td>HA</td>
<td>All</td>
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<tr>
<td>Airport Operations</td>
<td>Facilities File</td>
<td>HA</td>
<td>C</td>
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<td>Maps, drawings, and specifications only</td>
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<td>Airport Operations</td>
<td>General Incident Reports</td>
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Approved by Resolution No. [14-00616](#), Adopted on February 119, 20142016
AGENDA DATE: February 9, 2016

TO: Mayor and Councilmembers

FROM: Water Resources Division, Public Works Department

SUBJECT: Authorization To Request Correction Of Department Of Water Resources Groundwater Basin Map For The Foothill Basin

RECOMMENDATION:

That Council adopt, by reading of title only, A Resolution of the Council of the City of Santa Barbara Authorizing the Public Works Director to Submit a Request to the California Department of Water Resources for a Groundwater Basin Boundary Modification for the Foothill Groundwater Basin.

DISCUSSION:

The Sustainable Groundwater Management Act (SGMA) provides a process by which local agencies may submit requests to the California Department of Water Resources (DWR) to modify existing groundwater basin boundaries. Basin boundaries are defined in DWR’s report on groundwater known as Bulletin 118 (Update 2003). The boundaries information developed by DWR may lack information that local agencies have acquired through years or decades of study and management. DWR’s boundary modification process presents local agencies with the opportunity to better align the state’s recognized basin boundaries with their own, thereby improving coordination and basin management. In order to submit a request for a groundwater basin boundary modification to DWR, Council must adopt a resolution authorizing staff to submit such a request.

The City has been working in partnership with the United States Geological Survey (USGS) on groundwater investigations for decades and has produced multiple technical reports describing the basin characteristics. The Foothill Basin boundary that is recognized by the City is described in the 1989 USGS Report 89-4017, *Geohydrology of the Foothill Groundwater Basin near Santa Barbara, California*, prepared by John Freckleton (1989 Freckleton report).
In DWR’s Bulletin 118 (Update 2003), the written description of the Foothill Basin is accurate and is consistent with the 1989 Freckleton report. However, the mapped boundaries that were developed by DWR using Geographic Information System (GIS) software do not reflect the boundaries shown in the 1989 Freckleton report. The discrepancy is on the northern boundary of the basin, as shown in Figure A (Attachment). DWR has requested that the City go through the basin boundary modification process for adjustment to the GIS maps.

The proposed Foothill Basin boundary modification, if approved by DWR, would align DWR’s spatial depiction of the basin with the City’s recognized basin boundary as defined in multiple USGS technical reports, mainly the Freckleton 1989 report. While the area omitted by DWR is relatively unpopulated and well pumping is not located in the vicinity, it has been documented as an area that significantly contributes to natural recharge of the basin. Therefore, management of this portion of the basin is important.

The Foothill Basin does not border any groundwater basins to the north, so this request does not entail boundary modifications to any neighboring groundwater basins. As part of this process, neighboring water agencies will be provided notification of the City’s intent to modify basin boundaries.

The Sustainable Groundwater Management Act of 2014 has the potential to provide local agencies, such as the City, with more resources to better manage groundwater basins. The SGMA provides local agencies the authority to become a Groundwater Sustainability Agency (GSA) for a DWR-recognized basin and develop a Groundwater Sustainability Plan (GSP) for that basin. However, the GSA’s management authority only extends to the basin boundaries recognized by DWR, so accurate basin boundaries are integral to efficient management of the basin. Securing a basin boundary modification at this time would ensure that the correct basin boundaries for the Foothill Basin appear within the next Bulletin 118 update, and allow all portions of the Foothill Basin to be managed by a GSA should one be formed in the future.

ATTACHMENT: Groundwater Basin Boundaries

PREPARED BY: Joshua Haggmark, Water Resources Manager/DH/mh

SUBMITTED BY: Rebecca J. Bjork, Public Works Director

APPROVED BY: City Administrator’s Office
Figure A. Groundwater Basin Boundaries
RESOLUTION NO. _______

A RESOLUTION OF THE COUNCIL OF THE CITY OF SANTA BARBARA AUTHORIZING THE PUBLIC WORKS DIRECTOR TO SUBMIT A REQUEST TO THE CALIFORNIA DEPARTMENT OF WATER RESOURCES FOR A GROUNDWATER BASIN BOUNDARY MODIFICATION FOR THE FOOTHILL GROUNDWATER BASIN

WHEREAS, on January 1, 2015, Senate Bills 1168 and 1319, and Assembly Bill 1739 known collectively as the Sustainable Groundwater Management Act (SGMA) took effect;

WHEREAS, SGMA required the California Department of Water Resources (DWR) to develop emergency regulations describing the process by which local agencies may request changes to groundwater basin boundaries as shown in the DWR’s Bulletin 118;

WHEREAS, the Basin Boundary Emergency Regulation was adopted on October 21, 2015, and went into effect on November 16, 2015;

WHEREAS, DWR has provided a 90-day window beginning January 1, 2016 for Requesting Agencies to apply for groundwater basin modifications;

WHEREAS, the City of Santa Barbara (City) overlies a large portion of the Foothill Groundwater Basin, and the City draws water supplied from the Foothill Groundwater Basin, especially in times of drought and emergency;

WHEREAS, the City has a longstanding partnership with the United States Geologic Survey (USGS) in studying, analyzing, and modeling the Foothill Groundwater Basin; and has established a scientific basis for groundwater basin boundaries that are well documented;

WHEREAS, the Foothill Groundwater Basin boundaries as described in USGS technical reports and recognized by the City are not in agreement with the boundaries described in the DWR's Bulletin 118;

WHEREAS, accurate basin boundaries are necessary for coordinated and effective groundwater management;
WHEREAS, the City is an appropriate Requesting Agency for the Foothill Groundwater Basin boundary modifications, given that 1) the City is the designated monitoring entity for the California Statewide Groundwater Elevation Monitoring program for the Foothill Groundwater Basin, 2) formalizing the City's groundwater management role is consistent with the City's 2011 Long Term Water Supply Plan, and 3) the City will supply all of the supporting information as required by Water Code Section 10722.2 and the Regulations; and

WHEREAS, a Resolution by the Requesting Agency authorizing a request for basin boundary modification is required by the DWR.

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

SECTION 1. The City of Santa Barbara is the Requesting Agency for a Basin Boundary Modification for the Foothill Groundwater Basin and formally initiates a boundary modification request.

SECTION 2. The Public Works Director, or designee, is hereby authorized to submit a Basin Boundary Modification request to the DWR and is designated as the Revision Request Manager.
AGENDA DATE: February 9, 2016

TO: Mayor and Councilmembers

FROM: Public Works Department

SUBJECT: Contract For Streets Maintenance Planning Support Services

RECOMMENDATION:

That Council authorize the Public Works Director to execute a City Professional Services contract in the amount of $100,326 with LA Consulting, Inc., for Streets Maintenance Planning Support Services, and authorize the Public Works Director to approve expenditures of up to $10,033 for extra services of LA Consulting, Inc., that may result from necessary changes in the scope of work.

DISCUSSION:

Background

The Streets Section within the Transportation Division of the Public Works Department is responsible for most of the public infrastructure in the public right-of-way, including the maintenance of streets, sidewalks, storm drains, the Laguna pump station, graffiti abatement, traffic signs, and painting of street markings and alternative transportation projects. Alternatively, capital improvement projects, focused on infrastructure preservation and renewal, are managed by the Public Works’ Engineering Division, as are traffic engineering and traffic signals.

All of these functions are funded through dedicated revenue sources, including the Highway Users (Gas) Tax, Measure A Sales Taxes, Utility Users Taxes, Transportation Development Act funding, and other minor revenue sources. Total funding for the City Streets Programs (exclusive of street sweeping) for Fiscal Year 2016 is approximately $13,461,000.

The street infrastructure condition in the City is declining. The City has a goal of having a Pavement Condition Index (PCI) of 70 or better. Currently, the index is 63, and is projected to continue to decline based on the current available funding levels for streets capital pavement maintenance projects. Additionally, there is a backlog of street maintenance issues such as potholes and City street trees uplifting pavement, sidewalks and gutters.
Management review of the Streets Section’s maintenance activities resulted in a decision to hire a consultant to study existing street maintenance practices. In early 2015, a Request for Proposals was sent to qualified and experienced firms to conduct an evaluation of streets maintenance practices. LA Consulting, Inc. (LAC), was selected in 2015 through a competitive process, and staff negotiated a fair price. LAC is a qualified and experienced firm who has evaluated over 70 public agencies. LAC specializes in infrastructure operations and maintenance consulting. LAC performed an assessment of streets operations and maintenance activities and produced a report documenting its assessment in late 2015. The report includes recommendations for the City to implement in order to improve service levels and reduce costs.

The LAC Report recommendations are grouped into four key management principles: planning, organizing, directing, and controlling. Major improvement is needed in activities related to all four principles, with most improvement needed in the organizing management principle. Organizing principle-related activities such as determining resource requirements, work load distribution, and existing workload reviews via a sectional work calendar process, have not been functional. Important planning functions such as determining annual work program activities and related levels of effort required for these activities have not been properly managed. Controlling functions involved with reviewing the Streets Section’s field performance, taking final management action to resolve field activity under-performance, and providing systematic feedback to improve subsequent Streets Section planning activities, are lacking.

These LAC Report recommendations now must be addressed. While City staff can independently implement the LAC Report’s recommendations, significant improvement in this implementation can be made by contracting with LAC to participate in these organizational change-related activities. In doing so, the Street Section’s activities will become more effective in a shorter timeframe and will result in additional cost savings and operational efficiencies to the City in Fiscal Year 2017.

The proposed professional service agreement will direct LAC to continue its work with the Streets Section. LAC will focus upon activities which support implementation of its initial contract’s recommendations. It will update current street maintenance planning practices that will result in City staff’s field work productivity improvements. Because these improvements are designed to result in future fiscal savings, use of the Streets Section salary savings for this contract provide a sound investment for the future.
FUNDING:

The following summarizes all estimated total Project costs:

### ESTIMATED TOTAL PROJECT COST

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<td><strong>TOTAL PROJECT COST</strong></td>
<td><strong>$110,359</strong></td>
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There are sufficient appropriated funds in the Streets Capital Fund from salary savings to cover these costs.

**PREPARED BY:** Chris Toth, Transportation Manager/mj  
**SUBMITTED BY:** Rebecca J. Bjork, Public Works Director  
**APPROVED BY:** City Administrator’s Office
AGENDA DATE:  February 9, 2016

TO:           Mayor and Councilmembers

FROM:        City Administrator’s Office

SUBJECT:     Service Agreement With Interim Police Chief

RECOMMENDATION:

That Council authorize the City Administrator to execute a service agreement with John Crombach to act as Interim Police Chief, subject to Mr. Crombach’s prior successful completion of a background investigation and other required pre-employment examinations.

DISCUSSION:

City Police Chief Camerino “Cam” Sanchez will retire effective March 1, 2016, and his last day of work will be on February 19, 2016.* City Administrator Paul Casey has hired Regan Williams from the executive search firm of Bob Murray & Associates to assist him with the recruitment for a new Police Chief. Because the recruitment is ongoing, it will be necessary for Mr. Casey to appoint someone to act as the Police Chief temporarily until a new Chief is selected in June or July of 2016.

Bob Murray & Associates maintains a partnership with the California Police Chiefs Association to provide candidates for interim public safety management assignments to interested agencies. Mr. Casey interviewed a number of candidates referred through this partnership, and has selected John Crombach to serve as the Interim Chief (see Press Release, Attachment 1). Mr. Crombach is not a candidate for permanent placement in the position.

Under the proposed agreement (Attachment 2), Mr. Crombach will be appointed on an at-will basis at a pay rate of $4209.60 per week. As a retired annuitant under the California Public Employees Retirement Plan (CaPERS), Mr. Crombach will not participate in City retirement nor be eligible for other City benefits. Also, because of his status as a retired annuitant, his employment will be limited to 960 hours in each July through June Fiscal Year. Staff believes 960 hours will be sufficient time for the Interim Police Chief’s duties.
Because this is an important public safety position, Mr. Crombach’s employment is subject to a comprehensive background investigation, medical and psychological examinations, and other pre-employment requirements. The process to complete the required pre-employment investigations and examinations are underway and should be completed within the next few weeks. Anticipating timely completion of this process, Mr. Crombach will assume his new position on February 22, 2016.

* Note: Chief Sanchez will use vacation time from February 20 until his official retirement date of March 1, as allowed by City practice.

BUDGET/FINANCIAL INFORMATION:

This Interim Police Chief position will be funded with salary and benefit savings from the Police Chief vacancy. Therefore, additional appropriations are not necessary.

                2. Agreement Draft

PREPARED BY: Kristine Schmidt, Administrative Services Director

SUBMITTED BY: Paul Casey, City Administrator

APPROVED BY: City Administrator's Office
MEDIA RELEASE

INTERIM SANTA BARBARA POLICE CHIEF APPOINTED

SANTA BARBARA, CA – 2/3/2016

While a nationwide recruitment is conducted, City Administrator Paul Casey has appointed retired chief John Crombach as the Interim Police Chief of the Santa Barbara Police Department. He will oversee 200 sworn and civilian staff and a department budget of $42 million.

Mr. Crombach brings 36 years of experience in law enforcement to Santa Barbara. He is well known for 20 years of service with the Oxnard Police Department where he rose through the ranks to become Police Chief in 2005, managing a staff of 227 officers and civilian staff. He most recently served as the Assistant Sheriff for Ventura County before retiring in March 2014. In this position, he was responsible for leading a staff of more than 600 deputies and civilian employees.

During his time in Oxnard, he helped establish the California Cities Gang Network to address gang and youth violence. He implemented a Cross Cultural Competency training program for employees and community leaders to build relationships and improve understanding of culture, ethnicity, and economic differences. Under his leadership, a citizen’s academy was created for the Oxnard business community and he worked closely with their Downtown Business Partnership to develop security plans for the downtown area.

Mr. Crombach is a proponent of establishing high standards for his team and making career development a priority for sworn and civilian staff. He is known for a hands-on approach and interacting with people at all levels of the organization. He received a Bachelor's degree from University of La Verne and a Master’s degree in Public Administration from California State University, Northridge.

According to City Administrator Paul Casey, “I’m impressed by John’s commitment to build relationships. He sees residents, businesses, and other agencies as his customers and uses a collaborative approach to work with neighborhoods on public safety needs. He has a passion for building strong teams within organizations and I think he’s a good fit for our Police Department during a time of transition.”

After current Police Chief Cam Sanchez announced his retirement in October 2015, the City began an extensive public outreach effort and held meetings with community groups and police staff. Due to the importance of this position, the community’s input was
valuable in understanding public safety issues and identifying the qualities of the ideal candidate.

Mr. Crombach will assume the interim position shortly after the retirement of Police Chief Cam Sanchez. The recruitment effort is estimated to conclude by July with an official appointment. Mr. Crombach noted that he does not intend to apply for the position.

Contact: Nina Johnson, Assistant to the City Administrator
Phone: 805-564-5307
Email: NJohnson@SantaBarbaraCA.gov

###
AGREEMENT
FOR INTERIM POLICE CHIEF SERVICES
BETWEEN JOHN CROMBACH AND THE CITY OF SANTA BARBARA

THIS AGREEMENT, is made and entered into as of the ___ day of February, 2016, by and between the CITY OF SANTA BARBARA, a municipal corporation, organized and existing under the laws of the State of California, hereinafter referred to as “the CITY”, and John Crombach, hereinafter referred to as “CROMBACH”.

WHEREAS, the CITY, desires to retain CROMBACH to provide services to the CITY as Interim Police Chief; and

WHEREAS, CROMBACH has represented that he has the requisite knowledge, experience and skill to provide such services,

NOW, THEREFORE, the CITY AND CROMBACH agree as follows:

1. DUTIES

CROMBACH shall serve as the Interim Police Chief of the CITY upon appointment by the City Administrator. CROMBACH shall serve at the pleasure of the City Administrator. CROMBACH shall perform the tasks and duties of the Santa Barbara Police Chief on an interim basis for the CITY in accordance with state and federal laws, the Santa Barbara Municipal Code and Charter, and as directed by the City Administrator. CROMBACH shall at all times faithfully, and to the best of his ability, experience, and talent perform the services described herein. Specific duties for CROMBACH shall include the following:

a. Manage the day-to-day activities of the Santa Barbara Police Department including all matters of operation and personnel;

b. Provide continuity and assist with the subsequent police chief transition in the Santa Barbara Police Department;
c. Meet with the City Administrator and other staff as needed to discuss organizational issues; and

d. Other duties as assigned by the City Administrator.

2. TERM

The term of this agreement shall be from the date first specified above to the earlier of: i) the date upon which a permanent police chief is appointed, ii) the date upon which CROMBACH has completed 960 hours of work during any fiscal year, or, iii) the date upon which this Agreement is terminated by the City Administrator.

To enable CROMBACH to continue receiving vested benefits pursuant to the California Public Employees Retirement System (“PERS”), the duties to be performed under this Agreement shall not equal an amount of hours greater than that allowed pursuant to California Government Code section 21221, which limits CROMBACH to working no more than 960 hours per fiscal year unless an extension is granted prior to the expiration of the 960-hour period. CROMBACH shall keep a log of his daily work hours to ensure compliance with California Government Code section 21221 for Fiscal Year 2015/2016 and, if necessary for Fiscal Year 2016/2017. CROMBACH represents and warrants that his execution of this Agreement will not cause a violation of the limitations of Government Code section 21221 for fiscal year 2016/2017.

Nothing in this Agreement shall be construed to create a property interest in the job of Interim Police Chief.

3. RELATIONSHIP OF THE PARTIES

The services provided by CROMBACH pursuant to this Agreement shall be temporary and hourly in nature. CROMBACH shall not acquire any of the rights, privileges, powers, benefits, or advantages of a regularly employed CITY
employee. CROMBACH agrees and understands that his service under this Agreement is at the sole discretion and pleasure of the City Administrator. CROMBACH expressly waives any rights he may have under Government Code section 3304, if any, including specifically any notice or statement of reasons for removal by the City Administrator. CROMBACH may terminate this Agreement by giving written notice to the City Administrator specifying the date of such termination. CROMBACH will provide notice of not less than 30 days from the date that he proposes to terminate his employment. The CITY reserves the right to terminate, and may terminate, CROMBACH’s employment without cause and without written notice at any time, with or without reasons.

In the event of termination of this Agreement, any CITY equipment will be returned to the City immediately. In addition, any and all finished and unfinished documents, data, reports, and materials obtained by CROMBACH through his service under this Agreement shall be deemed the property of the CITY.

4. WORK SCHEDULE, COMPENSATION AND REIMBURSEMENT

a. CROMBACH will be on-site during the weekly work days and hours necessary to carry out the duties specified above, and further days and hours as may be necessitated by emergency situations, or as otherwise approved and/or desired by the City Administrator.

b. In consideration of the services rendered in accordance with all terms, conditions, and specifications set forth herein, the CITY shall pay CROMBACH a fee of $4209.60 per week. This amount is the equivalent of the published compensation for the position of Police Chief for the CITY and complies with the requirements of California Government Code section 21221. This weekly sum is the total compensation to be paid to CROMBACH by the CITY as the Interim Police Chief, exclusive of expense reimbursements authorized by this Agreement. The CITY shall not provide or be obligated to provide medical, dental, life, or similar insurance benefits,
or to make or contribute any additional sums for any retirement benefits, other than those required by law. As a retired CalPERS annuitant, CROMBACH shall not be entitled to participate in the CITY’s CalPERS retirement plan, and will not earn paid sick leave.

c. CITY shall provide Worker’s Compensation Insurance related to incidents occurring during the course and scope of CROMBACH's performance for the CITY.

d. CROMBACH waives any rights he may have to unemployment benefits following the cessation of the services provided in this Agreement.

e. CITY shall provide CROMBACH use of a CITY vehicle including gas and maintenance for official City business and travel to and from his residence. CROMBACH shall be responsible for any tax liability that may result from use of the vehicle. CITY shall also provide CROMBACH the use of a City issued cell phone for official City business only. CITY equipment and other CITY resources shall not be used for personal purposes.

f. CROMBACH must obtain prior approval from the City Administrator or his designee prior to incurring reimbursable business expenses. Final approval is at the discretion of the City Administrator. CITY agrees to reimburse CROMBACH for such approved business expenses as may be reasonably and necessarily incurred in the course and scope of performing the duties specified in this Agreement, provided that all such expenses are incurred in a manner consistent with City policies.

g. CROMBACH may wear a City of Santa Barbara Police uniform. The City will provide two police uniforms, an inclement weather jacket and required police equipment, including duty-issued firearm. CROMBACH is required to present the CITY with receipts in support of any reimbursement requested. Any property provided will be returned by CROMBACH at the end of the contract term.
5. CONDITIONS OF CROMBACH'S SERVICES

a. Conflicts of Interest Prohibited. During the term of this Agreement, CROMBACH shall not engage in any business, enter into transactions or maintain a financial interest which conflicts, or reasonably might be perceived to conflict, with the proper discharge of CROMBACH's duties under this Agreement. CROMBACH shall complete and file all documentation required by the Political Reform Act of 1974, including but not limited to an assuming office statement and statement of economic interests.

6. BONDS AND INDEMNIFICATION

a. Indemnification. CITY shall defend, hold harmless and indemnify CROMBACH against any tort, civil rights, personnel, discrimination, professional liability claim or other legal action, whether groundless or otherwise, arising out of an alleged act or omission occurring in the performance of CROMBACH's duties in accordance with the provisions of California Government Code section 825, and following. This specific covenant shall survive the termination of this Agreement. This section shall not apply to any intentional tort or crime committed by CROMBACH, to any action outside the course and scope of the services provided by CROMBACH under this Agreement, or any other intentional or malicious conduct or gross negligence on the part of CROMBACH.

Except as provided in Government Code section 995.2, the CITY shall provide a defense including legal counsel services through the City Attorney's Office in: a) any civil action or proceeding described in Government Code section 995; b) any administrative action or proceeding described in Section 995.6; or any criminal action or proceeding described in situations where a claim or action is threatened. If CITY pays for a defense, but a court or tribunal issues a final ruling that would, under Section 995.2,
preclude City payments for defense, CROMBACH shall immediately reimburse CITY, and if he fails to do so, CITY may offset any such amounts against compensation and settle any such claim or suit and pay the amount of any settlement or judgment therefrom. This covenant shall survive the termination of this Agreement as to any claims, civil action or proceedings which accrued during the term of this Agreement.

b. **Bonds.** City shall bear the full cost of any fidelity or other bonds which may be required in the performance of CROMBACH’s services under this Agreement.

### 7. NOTICE

Whenever it shall be necessary for either party to serve notice on the other, such notice shall be served by certified mail, postage prepaid, return receipt requested, addressed to the City of Santa Barbara at 735 Anacapa Street, Santa Barbara, CA 93101, Attention: City Clerk; and for CROMBACH at the Santa Barbara Police Department unless and until different addresses may be furnished in writing by either party to the other. Notice shall be deemed to have been served upon deposit in the United States Postal Service. This shall be valid and sufficient service of notice for all purposes.

### 8. ASSIGNMENT

CROMBACH shall not assign the performance of this Agreement, nor any part thereof, without the prior written consent of the CITY, by and through the City Administrator.

### 9. ACCEPTANCE OF AGREEMENT

a. **CROMBACH has been provided the opportunity to consult legal counsel in regards to the terms and conditions of this Agreement.** CROMBACH has read and understands the terms and conditions of this Agreement and is
fully aware of their legal effect, and hereby accepts the terms and conditions contained herein.

b. This Agreement contains all of the terms and conditions of this Agreement and supersedes all other oral, implied, or written agreements, communications or representations. No subsequent alteration, amendment, change or addition to this agreement shall be binding upon the parties unless reduced to writing and signed by the City Administrator.

10. SEVERABILITY

If any provision or any portion of this agreement is held to be unconstitutional, invalid or unenforceable, the remainder of this Agreement shall not be affected and shall remain in full force and effect.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed on the date first above written.

APPROVED AND AUTHORIZED:

Date: ____________________________  Paul Casey
                                   City Administrator

ACCEPTED AND AGREED TO:

Date: ____________________________  John Crombach

ATTEST:

______________________________  Matt Fore
Acting City Clerk Services Manager

APPROVED AS TO FORM

__________________________________________
Ariel Calonne
City Attorney
AGENDA DATE:       February 9, 2016

TO:               City Council

FROM:            Ariel Calonne, City Attorney
                  Andrew Bermond, Project Planner

SUBJECT:   Amendment To The Noise Ordinance Defining Noise Disturbance
           And Administrative Citations For Violations

RECOMMENDATION:

That Council introduce and subsequently adopt, by reading of title only, An Ordinance of
the Council of the City of Santa Barbara Amending Chapter 9.16 of the Santa Barbara
Municipal Code in its Entirety Pertaining to Noise.

DISCUSSION:

Background

In 2014, neighborhood concerns about noise, safety, housing, and traffic in the vicinity
of Santa Barbara City College (SBCC) led to the formation of the SBCC Neighborhood
Task Force. The Neighborhood Task Force was comprised of representatives from
SBCC staff and Student Senate, neighborhood residents, and City staff. From October
2014 to January 2015 the Neighborhood Task Force met to identify issues and
challenges between students and other neighborhood residents and suggest potential
strategies and solutions.

In February 2015 the SBCC Neighborhood Task Force Recommendations were
completed including two noise abatement recommendations: adopt a noise abatement
ordinance similar to the City of San Luis Obispo, and create a Student Neighborhood
Assistance Program (SNAP). The Neighborhood Task Force identified the Noise
Ordinance of the City of San Luis Obispo as a model that was well suited to the needs
of that community, specifically because the creation of an escalating administrative fine
that could be issued to tenants and landlords for violations would address noise
concerns without the creation of a criminal record. In addition, San Luis Obispo staff
reports that the Ordinance has resulted in a reduction of approximately 30% of noise
complaints.
This Noise Ordinance amendment is intended to address concerns from the SBCC Neighborhood Task Force; specifically party disturbances at night. Currently, police officers have the option of issuing a warning to the offender, or issuing a misdemeanor disturbing the peace citation. Disturbing the peace citations are rarely issued because they require a signed complaint from the affected person and result in a criminal record for the offender.

In August 2015 City staff hosted a public workshop to discuss potential changes to the Noise Ordinance. Residents from various city neighborhoods attended and voiced their noise concerns. Comments were generally supportive of the proposed changes. City Staff also met with representatives from Downtown Santa Barbara, the Santa Barbara Chamber of Commerce, as well as residents from downtown and Mesa neighborhoods to further refine the proposed.

The Ordinance Committee reviewed the proposed changes to the Noise Ordinance on January 26, 2016. Comments from the Committee and the public were generally supportive of the proposed changes, with many expressing concerns about noise impacts from specific activities.

Proposed Code Amendments

The proposed changes to the Noise Ordinance would establish new city-wide regulations on noise levels and establish new enforcement measures such as administrative fines.

**Noise Disturbance:** Noise Disturbance would be defined as the making or permitting to be made any noise that is plainly audible by a person of ordinary sensitivity at a distance of fifty feet (50’) from the noise source. Specific conduct that would constitute a disturbance includes the operating of televisions, music players, loud speakers, amplification, or musical instruments that create a disturbance across a property line between the hours of 10 p.m. and 7 a.m. Keeping of animals that cause a disturbance across a property line could also constitute a violation.

**Exclusions:** Noise Disturbance violations would not be issued to events sponsored or permitted by the City, the County, or any school. Noise complaints should be resolved with the relevant institution rather than through the City Police Department.

**Enforcement:** The Noise Ordinance amendment would empower police department and zoning enforcement staff to issue abatement orders and administrative citations if the violation is not removed. Continued violations within a nine-month period would result in escalating fines. The escalation proposed would be:

<table>
<thead>
<tr>
<th>First Violation</th>
<th>$350</th>
</tr>
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<tbody>
<tr>
<td>Second Violation</td>
<td>$750</td>
</tr>
</tbody>
</table>
Revenue generated could be used to provide funding for additional staff to enforce this ordinance. In San Luis Obispo, revenue generation is sufficient to meet all program-related expenses, including a Student Neighborhood Assistance Program (SNAP). Detailed discussion of staffing will be presented at a future date.

**Other Noise Issues**

Comments from the public on the draft Noise Ordinance amendment included motor vehicle, nightclub, leaf blower, and special event noise concerns. These issues are not addressed specifically in this amendment. Council may wish to provide staff with direction on how to proceed with these noise issues.

**CONCLUSION:**

Staff believes the proposed changes to the existing ordinance place reasonable restrictions on nuisance noise, empower the Police Department to improve enforcement and better respond to complaints, and facilitate the creation of a Student Neighborhood Assistance Program (SNAP).

**PREPARED BY:** Andrew Bermond, Project Planner

**SUBMITTED BY:** George Buell, Community Development Director

**APPROVED BY:** City Administrator's Office
AN ORDINANCE OF THE COUNCIL OF THE CITY OF SANTA BARBARA AMENDING CHAPTER 9.16 OF THE SANTA BARBARA MUNICIPAL CODE IN ITS ENTIRETY PERTAINING TO NOISE

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

SECTION 1. Findings and Intent. It is hereby declared to be the policy of the City of Santa Barbara to minimize the exposure of residents to the harmful physiological and psychological effects of excessive noise. It is the express intent of the City Council to control the level of noise in a manner which promotes commerce, the use, value and enjoyment of property, sleep and repose, and the quality of the environment. The City Council finds that the occurrence of loud or disturbing noises in the City of Santa Barbara constitutes an immediate and ongoing threat to the public health, safety, and welfare of the residents of the City. As a matter of legislative determination and public policy, the provisions, regulations and prohibitions of this ordinance are in pursuit of and for the purpose of securing and promoting the public health, safety, and welfare and the peace and quiet of the City of Santa Barbara and its residents. Moreover, the City Council finds that this ordinance is in furtherance of, and consistent with, the Santa Barbara General Plan, including specifically Noise Policy ER31.

SECTION 2. Chapter 9.16 of Title 9 of the Santa Barbara Municipal Code is amended in its entirety to read as follows:
9.16.010 Generally.

A. CAUSING ANNOYANCE, DISCOMFORT OR DISTURBING THE PEACE.

- Excessive or Unreasonable Noise. It is **shall be** unlawful for any person to make, cause or suffer or permit to be made or caused, upon any premises owned, occupied or controlled by **him** said person in the City, any unnecessary noises or sounds which cause are physically annoying annoyance or discomfort to persons of ordinary sensitiveness sensitivity or which are so harsh or so prolonged or unnatural or unusual in their use, time or place as to occasion physical discomfort to the inhabitants of the City, or any number thereof which disturb the peace and quiet of any neighborhood.

B. FACTORS USED IN DETERMINING WHETHER A VIOLATION HAS OCCURRED. The factors which shall be considered by the City in determining whether to issue a citation for a violation and whether a violation of this Section has occurred shall include, but not be limited to, the following:

   1. The volume of the noise, music, or related sound;

   2. The intensity of the noise, music, or related sound;

   3. The duration, continuousness or repetitive nature of the noise, music, or related sound;

   4. Whether the nature of the noise, music, or related sound is unusual for the area in which it occurs;

   5. Whether the origin of the noise, music, or related sound is natural or unnatural to the area in which it occurs;

   6. The volume and intensity of the background noise or sound, if any;
76. The proximity of the noise, music, or related sound to residential sleeping facilities or to overnight accommodations, such as hotels and motels;

87. The proximity to offices, places of business or other areas where work is known to be carried on, of the noise, music, or related sound;

98. The nature and zoning of the area within which the noise, music, or related sound emanates;

409. The time of day or night the noise, music, or related sound occurs and the relationship of this time to the normal activities of the area in which it occurs and in relation to the other factors listed in this subsection;

11. The duration of the noise, music, or related sound;

102. Whether the noise, music, or related sound is recurrent, intermittent, or constant;

113. Whether the noise, music, or related sound is produced by a commercial or a noncommercial activity;

124. Whether the person or business responsible for the noise, music, or related sound has been previously recently warned that complaints have been received about the noise, music, or related sound and such person or business has failed to reduce it to an appropriate level.


No person shall make, continue or cause to be made or continued, or permit or allow to be made or continued, any noise disturbance in such a manner as to be plainly audible by a person of ordinary sensitivity at a distance of fifty (50) feet from the noise source; provided, nothing in this section shall be construed to prohibit any noise which
does not penetrate beyond the boundaries of the noise source's own premises or does not constitute an unreasonable disturbance to people lawfully on those premises.

9.16.030 Specific Conduct Prohibited.

A. The following subsections set forth specific conduct which shall be unlawful:

1. **Radios, Television Sets, Musical Instruments and Similar Devices.** Operating, playing or permitting the operation or playing of any radio, television set, phonograph music player, drum, musical instrument, or similar device which produces or reproduces sound between the hours of ten (10) P.M. and seven (7) A.M. in such a manner as to create a noise disturbance audible by a person of ordinary sensitivity across a residential or commercial real property line.

2. **Loudspeakers and Amplified Sound.** Using or operating for any purpose any loudspeaker, loudspeaker system or similar device between the hours of ten (10) P.M. and seven (7) A.M. in such a manner that the sound creates a noise disturbance audible by a person of ordinary sensitivity across a residential real property line.

3. **Animals and Birds.** Keeping, maintaining or possessing or harboring any animal or bird which frequently or for long duration, howls, barks, meows, squawks or makes other sounds which create a noise disturbance audible by a person of ordinary sensitivity across a residential or commercial real property line.

B. **EXCLUSIONS.**

1. Amplification of sound by a person as part of an event or activity sponsored or approved by the County of Santa Barbara on property owned by or leased
to the County, provided the County has adopted or approved a sound control plan for
the property which is applicable to the event or activity.

2. Amplification of sound by a person as a part of an event or activity
sponsored or approved by the County of Santa Barbara on property owned by or leased
to the County of Santa Barbara and for which property the County has not developed a
sound control plan.

3. Amplification of sound by a person as part of an activity or event
sponsored or approved by the City of Santa Barbara on property owned by or leased to
the City of Santa Barbara.

4. Amplification of sound by a person as part of an activity or event
sponsored by or approved by a nursery school or day care, elementary school,
secondary school or college or university on property owned by or leased to the
educational institution.

5. Amplification of sound by a person as part of an activity or event
sponsored by or approved by a public entity on property owned by or leased to the
public entity.


It shall be unlawful for any person, between the hours of 8:00 p.m. P.M. of any
day and 7:00 a.m. A.M. of the following day to erect, construct, demolish, excavate for,
alter or repair any building or structure if the noise level created thereby is in excess of
the ambient noise level by 5 dBA at the nearest property line of a property used for
residential purposes unless a special permit therefor has been applied for and granted
by the Chief of Building and Zoning Official. In granting such special permit, the Chief of
Building and Zoning Official shall consider if construction noise in the vicinity of the proposed work site would be less objectionable at night than during daytime because of different population levels or different neighboring activities, if obstruction and interference with traffic, particularly on streets of major importance, would be less objectionable at night than during daytime, if the kind of work to be performed emits noises at such a low level as to not cause significant disturbance in the vicinity of the work site, if the neighborhood of the proposed work site is primarily residential in character wherein sleep could be disturbed, if great economic hardship would occur if the work were spread over a longer time, if the work will abate or prevent hazard to life or property, if the proposed night work is in the general public interest; and he shall prescribe such conditions, working times, types of construction equipment to be used, and permissible noise emissions, as he deems to be required in the public interest. This section shall not be applicable to activities of public or private utilities when restoring utility service following a public calamity or when doing work required to protect persons or property from an imminent exposure to danger.

9.16.0250 Leaf Blowers - Restriction on Use.

A. DEFINITIONS.

1. **LEAF BLOWER Leaf Blower.** Any device used, designed or operated to produce a current of air by fuel, electricity or other means to push, propel or blow cuttings, refuse or debris.

2. **NOISE LEVEL STANDARDS Noise Level Standards.** Measured in accordance with those standards developed under the supervision of the American National Standards Institute's (ANSI) "Committee for Sound Level Labeling
Standard for Hand Held and Back Pack Gasoline Engine Powered Blowers" presently adopted as ANSI B-175.2-1990 with the maximum noise level of 65 decibels.

B. PROHIBITION IN RESIDENTIAL ZONES.

It is unlawful for any person to operate a leaf blower within two hundred and fifty feet (250’) of any residential zone, as that term is defined in Title 28 of this Code, before 9:00 a.m.A.M. or after 5:00 p.m.P.M. Monday through Saturday or at any time on Sundays or national holidays, provided that the City Parks and Recreation Department employees shall be allowed to use leaf blowers between the hours of 7:00 a.m.A.M. and 9:00 a.m.A.M. Monday through Saturday when cleaning parking lots adjacent to the City’s Beachfront parks.

C. CLEAN-UP OF DEBRIS.

It is unlawful for any person operating any type of leaf blower to blow cuttings, refuse or debris onto a neighboring property or into a street or gutter. It is also unlawful for any person operating any leaf blower to fail to properly dispose of accumulated debris, leaves, or refuse in a sealed trash or refuse container.

D. PHASE-OUT OF CERTAIN LEAF BLOWERS.

1. Existing Leaf Blowers. The use of leaf blowers which are not manufactured to meet or exceed the Noise Level Standards is prohibited in all areas of the City under all circumstances, after October 9, 1997.

2. Sale of New Leaf Blowers. It is unlawful to sell or offer for sale within the City of Santa Barbara leaf blowers which are not manufactured to meet or exceed the Noise Level Standards of 65 decibels.
E. CERTIFICATION.

Owners and operators will present equipment to the City Parks and Recreation Director or his designee, with an application and reasonable fee, for noise testing according to ANSI testing criteria in the Noise Level Standards. Leaf Blowers which generate 65 decibels or less according to the test will be issued a certification sticker, which is valid for one year following the date of testing. The use of a leaf blower, without a current and valid certification sticker affixed to it, within the City after July 1, 1998 is an infraction. All sound level measurements described in this section shall be taken with a Sound Level Meter.

F. GUIDELINES FOR THE PROPER USE OF LEAF BLOWERS.

The City Parks and Recreation Director is hereby authorized and directed to adopt guidelines for the proper use of leaf blowers which guidelines shall promote the safe and efficient use of leaf blowers, while also mitigating, to the extent possible, the noise and nuisance effects of leaf blowers. The Finance Department is hereby directed to provide a copy of this ordinance and the leaf blower guidelines to each person obtaining a City business license for the operating of a gardening or landscaping maintenance service or business within the City. The operator of every business establishment selling leaf blowers within the City of Santa Barbara shall post in a conspicuous location and shall distribute to all purchasers a copy of this ordinance and the guidelines.

9.16.02460 Use of Gasoline Powered Leaf Blowers Prohibited.

Measure D97, adopted November 4, 1997, provides: In order to secure and promote the public health, comfort, safety and welfare, and to protect the rights of its
citizens to privacy and freedom from nuisance, it is the purpose of this ordinance to prohibit unnecessary, excessive and annoying noises at levels which are detrimental to the health and welfare of the community, and to minimize airborne dust and pollen. It shall be unlawful for any person within the City to use or operate any portable machine powered with a gasoline engine, or gasoline powered generator, to blow leaves, dirt, and other debris off sidewalks, driveways, lawns, or other surfaces.

9.16.0250070 Regulation of Noise Affecting Parcels Zoned or Used for Residential Purposes.

A. HOURS OF OPERATION. Hours of operation on property zoned for agricultural use and used for planting, grading, vegetation removal, harvesting, sorting, cleaning, packing, shipping, and pesticide application shall be limited to 7:00 A.M. to 7:00 P.M. Monday through Saturday. Hours of operation for the above-stated activities shall be limited to 8:00 A.M. to 7:00 P.M. on Sunday and holidays.

B. MOTOR VEHICLE HORNS AND SIGNALING DEVICES. The following acts and the causing thereof are declared to be in violation of this ordinance:

1. The sounding of any horn or other auditory signaling device on or in any motor vehicle on any public right-of-way or public space except as a warning of danger as provided in Section 27000 of the California Vehicle Code.

2. The sounding of any horn or other auditory signaling device which produces a sound level in excess of 60 dB(A) at a distance of 200 feet.

3. Exception. Emergency vehicles may be equipped with and use auditory signaling devices that do not comply with the requirements of this section.

B. MECHANICAL EQUIPMENT. Mechanical equipment other than vehicles and equipment which is operated by electricity obtained from an electricity utility.
company shall not be used outside before 8:00 A.M. or after 7:00 P.M. on Saturday, Sunday or holidays or before 7:00 A.M. or after 7:00 P.M. Monday through Friday.

C. D. NOISE LIMITATIONS. All mechanical equipment other than vehicles (including heating, ventilation, and air conditioning systems) shall be insulated. Sound at the property line of any adjacent parcel used or zoned for residential, institutional, or park purposes shall not exceed sixty A-weighted decibels using the Community Noise Equivalent Level (60 dB(A) CNEL). All wind machines are prohibited in the City.

Flights of manned and piloted aircraft over and in the vicinity of the City so as to cause loud, sudden and intense "sonic booms" in the City constitute a public nuisance.

9.16.040 Creating Sonic Boom Unlawful.
It is unlawful to pilot any aircraft over and in the vicinity of the City at supersonic speeds so as to cause loud, sudden and intense "sonic boom" impacts in the City.

9.16.050080 Sound Amplification.
No person shall amplify sound using sound amplifying equipment contrary to any of the following:

_____A.(a) The only amplified sound permitted shall be either music or the human voice or both.

_____B.(b) Sound emanating from any public park or place shall not be amplified above the ambient noise level so as to be audible within any hospital, rest home, convalescent hospital, or church while services therein are being conducted.
C.  The volume of amplified sound shall not exceed the noise levels set forth herein 60dB(A) when measured outdoors at or beyond the property line of the property from which the sound emanates.

- **Time Period:**
  - 10 p.m. – 7 a.m.
  - 7 a.m. – 10 p.m.

- **Maximum Noise Level:**
  - 60 dBA
  - 60 dBA

D.  The volume of amplified sound inside a structure shall not exceed 45dB(A) the noise levels set forth herein when measured inside a building used for residential purposes. This maximum noise level shall not apply to the dwelling unit from which the sound is emanating.

- **Time Period:**
  - 10 p.m. – 7 a.m.
  - 7 a.m. – 10 p.m.

- **Maximum Noise Level:**
  - 40 dBA
  - 45 dBA

E.  The limits set forth above shall not apply to the following:

1. (4) Amplification of sound by a person as part of an event or activity sponsored or approved by the County of Santa Barbara on property owned by or leased
to the County, provided the County has adopted or approved a sound control plan for
the property which is applicable to the event or activity.

2.(2) Amplification of sound by a person as a part of an event or activity
sponsored or approved by the County of Santa Barbara on property owned by or leased
to the County of Santa Barbara and for which property the County has not developed a
sound control plan.

3.(3) Amplification of sound by a person as part of an activity or event
sponsored or approved by the City of Santa Barbara on property owned by or leased to
the City of Santa Barbara.

4.(4) Amplification of sound by a person as part of an activity or event sponsored
by or approved by a nursery school, elementary school, secondary school or college or
university on property owned by or leased to said educational institution.

5.(5) Amplification of sound by a person as part of an activity or event
sponsored by or approved by a public entity on property owned by or leased to said
public entity.

9.16.060090 Definitions.

Unless the context otherwise clearly requires, technical words and phrases used
in this chapter are defined as follows:

A.(A) **SOUND AMPLIFYING EQUIPMENT.** "Sound amplifying equipment" shall
mean any machine or device for the amplification of the human voice, music, or any
other sound. "Sound amplifying equipment" shall not include standard automobile radios
when used and heard only by the occupants of the vehicle in which the automobile radio
is installed. "Sound amplifying equipment" as used in this chapter, shall not include
warning devices on authorized emergency vehicles or horns or other warning devices on any vehicle used only for traffic safety purposes and shall not include communication equipment used by public or private utilities when restoring utility service following a public calamity or when doing work required to protect persons or property from an imminent exposure to danger.

**B.(B) AMBIENT NOISE.** "Ambient noise" is the all-encompassing noise associated with a given environment, being usually composed of sounds from many sources near and far. For the purpose of this ordinance, ambient noise level is the level obtained when the noise level is averaged over a period of five (5) minutes without inclusion of noise from isolated identifiable sources, at the location and time of day near that at which a comparison is to be made.

**C. NOISE DISTURBANCE.** “Noise disturbance” shall mean any sound which (a) endangers or injures the safety or health of human beings or animals, or (b) annoys or disturbs reasonable persons of normal sensitivities, or (c) endangers or injures personal or real property, or (d) violates the factors set forth in Section 9.16.010 of this Chapter. Compliance with the quantitative standards as listed in this Chapter shall constitute elimination of a noise disturbance.

**D.(C) DECIBEL.** "Decibel" (dB) shall mean an intensity unit which denotes the ratio between two (2) quantities which are proportional to power; the number of decibels corresponding to the ratio is ten (10) times the common logarithm of this ratio.

**E.(D) SOUND LEVEL.** "Sound level" (noise level) in decibels is the value of a sound measurement using the "A" weighting network of a sound level meter. Slow
response of the sound level meter needle shall be used except where the sound is
impulsive or rapidly varying in nature in which case fast response shall be used.

F.(E) PERSON. "Person" shall mean a person, firm, association, co-partnership,
joint venture, corporation, or any entity, public or private in nature.

G.(F) SOUND LEVEL METER. "Sound level meter" shall mean an instrument
including a microphone, an amplifier, an output meter, and frequency weighting
networks for the measurement of sound levels which satisfies the pertinent
requirements in American National Standards Institute’s specification S1.4 1974 2014 or
the most recent revision thereof for type S-2A general purpose sound level meters.

H.(G) SUPPLEMENTARY DEFINITIONS OF TECHNICAL TERMS. Definitions
of technical terms not defined herein shall be obtained from the American National
Standards Institute’s Acoustical Terminology S1.1-1974 1994 or the most recent
revision thereof.


(a) A. Any decibel measurement made pursuant to the provisions of this Chapter
shall be based on a reference sound pressure of twenty (20) micronewtons per square
meter (0.0002 microbar) as measured with a sound level meter using the "A" weighting,
and using the slow meter response.

(b) B. Unless otherwise provided, outdoor measurements shall be taken with the
microphone located at any point on the property line of the noise source, but no closer
than five (5) feet from any wall or vertical obstruction and three (3) to five (5) feet above
ground level whenever possible.
(e) C. Unless otherwise provided, indoor measurements shall be taken inside the structure with the microphone located at any point as follows: (1) no less than three (3) feet above floor level; (2) no less than five (5) feet from any wall or vertical obstruction; and (3) not under common possession and control with the building or portion of the building from which the sound is emanating.

**9.16.110 Enforcement.**

A. **PRIMA FACIE VIOLATION.** Any noise exceeding the noise level limits in Section 9.16.080, or the prohibited actions as provided in Sections 9.16.010, 9.16.020 and 9.16.030, shall be deemed to be prima facie evidence of a violation of the provisions of this Chapter.

B. **VIOLATIONS.** Any violation of the provisions of this Chapter shall be a misdemeanor or be subject to administrative code enforcement pursuant to Chapter 1.25 of this code. Each hour such violation is committed or permitted to continue shall constitute a separate offense and shall be punishable as such.

C. **ABATEMENT ORDERS.**

1. In lieu of issuing a notice of violation as provided for in subsection B of this section, the zoning enforcement or police department staff responsible for enforcement of any provision of this Chapter may issue an order requiring abatement of a sound source alleged to be in violation, within a reasonable time period and according to guidelines which the police department may prescribe.
2. No complaint or further action shall be taken in the event that the cause of the violation has been removed, the condition abated or fully corrected within the time period specified in the written notice.

D. CONTINUED VIOLATIONS. Once a violation of any provision of this Chapter has been verified by a zoning enforcement or police department staff, the owner(s) of the property where the violation occurred may be subject to administrative action or misdemeanor citation for allowing a subsequent violation of this Chapter to occur on the property within nine (9) months after the date of a previous violation, provided the property owner has received notification from the City of the previous violation and at least fourteen (14) days have passed since the date the notification was mailed to the property owner(s).


As an additional remedy, the operation or maintenance of any sound amplifying equipment, device, instrument, vehicle, or machinery in violation of any provision of this Chapter, which operation or maintenance causes discomfort or annoyance to reasonable persons of normal sensitiveness or which endangers the comfort, repose, health or peace of residents in the area, shall be deemed and is declared to be, a public nuisance and may be subject to abatement summarily by a restraining order or injunction issued by a court of competent jurisdiction.
AGENDA DATE: February 9, 2016

TO: Mayor and Councilmembers

FROM: Water Resources Division, Public Works Department

SUBJECT: Contract For Storage Of Pass-Through Water In Lake Cachuma

RECOMMENDATION:

That Council authorize the Public Works Director to negotiate and execute a Warren Act contract with the U.S. Bureau of Reclamation, in a form approved by the City Attorney, to provide for the storage and conveyance of a portion of the City’s Gibraltar Reservoir water as non-project water in and through Cachuma Project facilities, pursuant to the provisions of the 1989 Upper Santa Ynez River Operations Agreement.

DISCUSSION:

Gibraltar Reservoir was completed in 1920 and serves as a principal component of the City’s water supply by diverting Santa Ynez River water to the City via Mission Tunnel. Siltation has been an ongoing problem, and by the 1940’s, the reservoir volume had decreased to half its original volume of 15,374 acre feet (AF). In 1948, the dam was raised 23 feet, restoring the reservoir’s capacity to its original volume. By 1988, siltation had reduced the volume to 8,567 AF.

In 1983, the City, in cooperation with the State’s Division of Safety of Dams, began planning for a seismic strengthening of Gibraltar Dam. The scope of the design included provisions for an additional future raising of the dam by 20 feet to again restore the reservoir to its approximate original capacity. In May 1988, some purveyors of Santa Ynez River water sued the City, contending that the reinforcement project was the beginning of a project to raise the dam and would have significant adverse effects on flows in the Santa Ynez River.

Efforts to settle the litigation led to the 1989 signing of the Upper Santa Ynez River Operations Agreement, more commonly known as the Pass-Through Agreement (Agreement). The parties of the Agreement are all the member units of the Cachuma Project, and the Santa Ynez River Water Conservation District (located downstream of Lake Cachuma). The U.S. Bureau of Reclamation (Reclamation), the owner and operator of Bradbury Dam at Lake Cachuma, formally acknowledged the Agreement and agreed to maintain its records in a manner that would implement the Agreement. The Agreement enacted a compromise that involves two key elements:
1. The City agreed to defer the enlargement of Gibraltar Reservoir; and

2. The parties agreed to minimize the impact of siltation on the City’s Gibraltar yield by allowing for some of the water that spills from Gibraltar Reservoir and flows into Lake Cachuma to be counted as part of the City’s Gibraltar water. This concept was referred to as a “pass-through” of Gibraltar water to Lake Cachuma, for delivery to the City through Cachuma Project facilities.

Upon execution of the Agreement, the City began operating Gibraltar in accordance with the Agreement, proceeded with the reinforcement project, and suspended plans to enlarge Gibraltar Reservoir.

**Operational Modes under the Agreement**

The Agreement addresses ongoing siltation at Gibraltar Reservoir by defining two modes of reservoir operation. The first mode provides for the City to elect various levels of annual Gibraltar diversion, subject to relinquishment by the City of specified amounts of the City’s Cachuma water, as mitigation for downstream effects. No water is passed through to Lake Cachuma under this mode. All Gibraltar water is received through Mission Tunnel. The City and Reclamation have operated their respective reservoirs and accounted for water under this mode of the Agreement since 1991.

The second mode, the pass-through operations mode, will initiate the storage of pass-through water in Lake Cachuma. The amount of pass-through water is based on a comparison between the actual spills from Gibraltar and the amount that would have spilled from a hypothetical “base” reservoir, representing 1988 conditions. Under pass-through operations, some of the City’s Gibraltar water would continue to be delivered through Mission Tunnel, and some would be stored as pass-through water in Lake Cachuma and conveyed to the City through Tecolote Tunnel and the South Coast Conduit.

**Implementation of Pass-Through Operations**

In 2007, the Zaca Fire burned 60 percent of the Gibraltar watershed, resulting in substantial siltation and reduction of the reservoir volume by approximately 1,500 AF, to 5,250 AF. In 2008, pursuant to its rights under the Agreement, the City elected to commence pass-through operations and began pursuing a contract with Reclamation under the federal Warren Act. The act provides for the use of excess capacity in federal water projects to store non-project water, with the goal to more fully utilize the capacity of these facilities.

In January 2016, Reclamation issued the public comment draft of its Environmental Assessment and Finding of No Significant Impact for the proposed action of entering into a Warren Act contract for the storage of the City’s pass-through water in Lake Cachuma as non-project water, and modified accounting of water under pass-through operations. The public comment period ends on February 11, 2016. Shortly thereafter,
Reclamation is anticipated to execute a five-year temporary Warren Act contract. This would facilitate storage of pass-through water that would become available upon a spill at Gibraltar Reservoir. A 40-year long term contract would follow.

Prior to the execution of the Agreement in 1989, the City filed the attached Notice of Exemption from Environmental Review (Project No. SB-142-89, dated July 12, 1989) under the California Environmental Quality Act (CEQA). The notice states that the action is exempt from CEQA because the project would not have a significant effect on the environment. The parties to the Agreement made the same determination in Recital 9 of the Agreement. The recommended Warren Act contract is an administrative act to implement pass-through operations and account for pass-through water under the provisions of the Agreement, and is therefore covered under the original CEQA action.

The Water Commission has been receiving monthly updates on the status of the City’s work with Reclamation and the Technical Committee, and supports this effort.

**BUDGET/FINANCIAL INFORMATION:**

Both the temporary and long term Warren Act contracts will establish a fee for storage and conveyance of the City’s pass-through water. The fee under a similar contract for the storage of State Water delivered into Lake Cachuma for Cachuma member units is $58/AF, but the fee for the City’s pass-through water may be somewhat higher.

Annual credits of pass-through water are estimated to average about 1,000 AFY. Funds have been budgeted in the Fiscal Year 2016 Water Fund Operating Budget for this expense. Gibraltar water will continue to be one of the City’s lowest cost supplies of water, and the move to pass-through operations will allow the City to regain some of the Gibraltar yield lost to siltation from 1989 to the present.

**SUSTAINABILITY IMPACT:**

Gibraltar water, whether delivered via Mission Tunnel or through Lake Cachuma, flows by gravity, thereby minimizing the energy requirements associated with this supply source. In terms of water supply, the Agreement provides for a stabilized yield from Gibraltar Reservoir as it continues to experience siltation into the future, and it allows the City to implement any feasible sediment management strategies to maintain current capacity or any enhanced capacity up to the 1988 volume of 8,567 AF.

**ATTACHMENT:** Notice of Exemption from Environmental Review, July 12, 1989

**PREPARED BY:** Joshua Haggmark, Water Resources Manager/BF/mh

**SUBMITTED BY:** Rebecca J. Bjork, Public Works Director

**APPROVED BY:** City Administrator’s Office
CITY OF SANTA BARBARA
NOTICE OF EXEMPTION
FROM ENVIRONMENTAL REVIEW

TO: XX Office of Planning and Research
1400 Tenth Street, Room 121
Sacramento, CA 95814

XX County Clerk of the Board
County of Santa Barbara

FROM: City of Santa Barbara
Community Development Dept.
P.O. Drawer P-P
Santa Barbara, CA 93102

Project Description: The Upper Santa Ynez River Operations Agreement - an agreement between the City of Santa Barbara and the Downstream Purveyors regarding the operation of Gibraltar Reservoir and pass through of yield as it fills with silt in the future. It will provide for protection of downstream users while maintaining the City's ability to continue total diversions from the river at a rate which approximates historic levels.

Project Location (Specific): Santa Ynez River from Bradbury Dam to Gibraltar Reservoir.

Project Located in the County of Santa Barbara

Description of Nature, Purpose, and Beneficiaries of Project: An agreement between the City, Carpinteria County Water District, Goleta Water District, Montecito Water District, Summerland County Water District, Santa Ynez River Water Conservation District and Santa Ynez River Water Conservation District, Improvement District No. 1 regarding operation of Gibraltar Reservoir and pass through of yield as it silted up in the future.

Name of Public Agency Approving Project - City of Santa Barbara

Name of Person or Agency Carrying Out Project (Applicant): City of Santa Barbara and the Downstream Purveyors.

Exempt Status: (Check One)

Ministerial (Sec. 15268)
Declared Emergency (Sec. 15269 (a))
Emergency Project (Sec. (b) and (c))
XX Categorical Exemption - Section Number 15301 (b)
XX General Exemption - Section Number 15061(b)(3)

Date of Exemption: July 12, 1989

Reason why project is exempt: This project consists of an agreement regarding the operation of a publicly-owned utility. In addition, it can be seen with certainty that there is no possibility that the project may have a significant effect on the environment.

Contact Person: Janice M. Hubbell (805) 564-5470

Date Received for Filing: ______________________

Environmental Analyst

FILED AND POSTED BY
JUL 2 8 1989

GOVERNOR'S OFFICE OF PLANNING AND RESEARCH
Form Revised 1/89
AGENDA DATE: February 9, 2016
TO: Mayor and Councilmembers
FROM: City Attorney’s Office
SUBJECT: Conference with City Attorney – Existing and Anticipated Litigation
RECOMMENDATION: That Council:

A. Hold a closed session to confer with the City Attorney regarding existing litigation pursuant to Government Code section 54956.9(d)(1), and take appropriate action as needed.

The existing litigation is:

Ron Bochner v. City of Santa Barbara, SBSC Case No. 15CV02939
Linda Curtiss v. City of Santa Barbara, et al., SBSC Case No. 15CV00345
Debra A. Corral, et al. v. City of Santa Barbara, SBSC Case No. 1466439; Related to Case No. 1343636
Patricia Dzukola v. City of Santa Barbara, SBSC Case No. 15CV04677
Nestor Galvan v. City of Santa Barbara, et al., SBSC Case No. 15CV00968
Susan Guerguy v. City of Santa Barbara, SBSC Case No. 15CV04677
Silbia Limon v. City of Santa Barbara, et al., SBSC Case No. 15CV00135
Trevor Martinson, et al. v. City of Santa Barbara, et al., SBSC Case No. 15CV044465
Lizette Padilla-Lee v. Lux; Lux v. City of Santa Barbara, SBSC Case No. 1486999
Toni M. Reyes v. City of Santa Barbara, et al., SBSC Case No. 1416050
Andrew Furst v. City of Santa Barbara, et al., USDC Case No. 5:15-CV-02428 VAP(SPx)
Jesus Reyes Herrera v. City of Santa Barbara, et al., USDC Case No. 2:15-CV-08402 DMG(PLAx)
Travis Middleton v. Santa Barbara Police Department, et al., USDC Case No. CV15-09818 SVW(AGR)
Home on Wheels, et al. v. City of Santa Barbara, COA Case No. 2656630
Rolland Jacks v. City of Santa Barbara, et al., COA Case No. B253474
Passion Moore v. City of Santa Barbara, et al., COA Case No. 15-55316
Jun Yang v. City of Santa Barbara, COA Case No. B267587
City of Santa Barbara v. Virginia Castagnola, et al., SBSC Case No. 1469840
B. Hold a closed session to confer with the City Attorney regarding anticipated litigation pursuant to Government Code section 54956.9(d)(2)&(3), and take appropriate action as needed.

The anticipated litigation is based upon:

- Significant exposure to litigation arising out of the tort claim of David Anduri, Sr.
- Significant exposure to litigation arising out of the claim of Kendra L. Feshbach
- Significant exposure to litigation arising out of the claim of Jennifer McKenzie

C. Hold a closed session to confer with the City Attorney regarding anticipated litigation pursuant to Government Code section 54956.9(d)(2)&(e)(2), and take appropriate action as needed.

The anticipated litigation is based upon:

- Significant exposure to litigation arising out of water main break related damage to U.S. Route 101.

SCHEDULING: Duration, 60 minutes; anytime
REPORT: None anticipated
SUBMITTED BY: Ariel Calonne, City Attorney
APPROVED BY: City Administrator's Office