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|  <p><b>City of Phoenix</b><br/>Human Services Department<br/>Management Services Division</p> | <p><b>Records Retention Procedure</b></p> <p>Effective Date: October 23, 2023<br/>Rev.</p> |
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**I. Purpose**

The purpose of this policy is to outline the Human Services Department (HSD) procedures with respect to the preparation, maintenance, and destruction of records within retention guidelines.

**II. Policy**

For the complete City of Phoenix Records Retention Policy and Administrative Regulation 1.61, visit [City Clerk Department Records Services](#).

**III. Procedures**

**Preparing Records for Retention**

Every calendar year, the [HSD Records Control Officer](#) (HSD RCO) will email a list of the assigned Record Box numbers to each division liaison. Division liaisons are selected by the division Deputy Director. Each division is provided a minimum of 100 numbers. Additional allocations are based on division size, previous usage, and estimated usage for the calendar year.

Space is provided at the bottom of the tracking list to allow staff to note the box numbers used and their activity.

Hard copy files must be boxed in NEW one Cubic Foot 703 boxes ONLY. The item can be purchased through City vendors.

Example: *Wist* SKU: FEL00703 (Fellowes Bankers Box STOR/FILE Storage Box)

Hard copy files can be bound with rubber bands or placed in folders without any metal (manila file folders or expandable manila file folders). No binder clips, paper clips, tabbed folders, etc., should be placed in the boxes. Boxes with any metal will be returned to the division liaison.

Each box should include a list of all files inside the box. The files can be in alphabetical, numerical, or chronological order based on your filing system. The list should be recorded using the same system.

Date ranges can be calendar or fiscal year depending on your selected filing system.

Current Records Retention Schedules and forms are located on the City Clerk website under Records Services.

[Citywide Records Retention Schedule](#)

[Human Services Records Retention Schedule](#)

[Records Center Transmittal Form](#)

[Records Destruction Form](#)

### **Selecting a Record Series**

Each City of Phoenix department has their own specific retention schedule. This is usually divided by division and covers very specific forms of documentation, specific grant funding, budgetary records, etc.

The City of Phoenix also has a citywide retention schedule that covers broader documentation.

Staff should review the HSD specific retention schedule prior to utilizing the citywide schedule.

For questions or concerns, please contact the [HSD Records Control Officer](#).

### **Retention**

There are three periods of records retention: in office hold (all), record center hold, and destruction (all).

**In Office Hold:** After a file has expired it must remain with the department for a specified amount of time depending on the file's record series association.

Ex: Senior Center- Client Related Records HSD 12 1507 must remain in office for six months after the last date of client contact. These files can be boxed and stored but must be easily accessible to department staff. Following the six-month period, these files can be moved to the records center.

Not all records series require files to be moved to the records center.

Ex: WIOA Customer Satisfaction Surveys HSD 12 2269 must remain with the department for one calendar year after the survey was conducted. However, these records do not have an additional holding period. After the year, these records can be destroyed.

**Records Center Hold:** Following the onsite holding period, files may be moved to the City Clerk Records Center for the remainder of their retention period. In the previous example of Client Related Records (HSD 12 1507), after the six months on site, documents would move to the Records Center for a period of 4.5 years for a total five-year retention period.

### **Record Box Labeling**

Boxes should be labeled directly on the short end of the box using a black felt-tip permanent marker.

Box numbers must always be placed in the upper left corner and must be visible even when the box is lidded.

Eligible destruction date will be placed in the upper right corner and must be visible below the lid.

Provide the name of the department and the division.

Provide the date range covered by the records in the box.

This can be calendar or fiscal year.

Provide the record series title per the approved retention schedule.

### **Record Box Transmittal Forms**

Each box transferred to the Record Center must be listed on the approved Customer Service Center Transmittal Form. The form can be found on the City Clerk website or as linked above.

Customer Service Center Transmittal Forms are completed to include preparer's information and the following records information:

- Box numbers
- Record series name
- Total retention allowed
- Date ranges of records
- Record series number
- Date eligible for destruction

The date of destruction eligibility should be the same for all boxes listed on one transmittal form for ease of filing the form and for maintaining boxes with similar destruction dates in adjoining locations.

Date examples: Date range with a five-year total retention.

From: 07/01/2020

From: 01/01/2020

Thru: 06/30/2021

Thru: 12/31/2020

Date Eligible to Destroy: 07/01/2026

Date Eligible to Destroy: 01/01/2026

**NOT**

**NOT**

Date Eligible to Destroy: 06/30/2026

Date Eligible to Destroy: 12/31/2025

### **Transmittal Form Approval**

After the Customer Service Center Transmittal Forms have been completed and the boxes have been prepared, forms are sent to the [HSD Records Control Officer](#).

The HSD RCO will review the forms and sign off for approval to transfer to the Records Center.

Approved forms are scanned and emailed to the Records Center at [Records.center@phoenix.gov](mailto:Records.center@phoenix.gov) by the HSD RCO. Original signed documents are interofficed back to the preparer.

City Clerk will contact the HSD RCO to schedule a transfer date and time. The HSD RCO will schedule department facilities to transport the record boxes to the Records Center.

### **Final Record Box Prep and Transfer**

- Preparer makes copies of the approved Customer Service Transmittal forms, and a copy is placed in each individual box with that specific box number line highlighted.
- Record box lids should be securely taped to prevent boxes from opening during transfer to the Records Center.
- Department facilities staff will transport the boxes along with the original signed Customer Service Center Transmittal Forms and deliver to the Records Center.
- After records have been transferred and stored, City Clerk staff enters the shelf location information on the forms. Notated forms are scanned and emailed back to the HSD RCO.

### **Destruction:**

Records Destruction Forms are used when documentation has completed its retention period. Records Destruction Forms can be found on the City Clerk website or as linked above.

Records Destruction Forms are completed to include the preparer's information.

Select if the files are located at the City Clerk Customer Service Center or with the Prime Copy Department (in house).

Select the appropriate format for the records. Hard copy, electronic, audio tape, or microfilm?

Enter the following records information from the appropriate retention schedule (this information should match previously submitted records transmittal forms if records are at the Records Center):

- Records series name
- Record series number
- Date range of records
- Date eligible for destruction
- Record box numbers, if applicable

When completed, the original form is forwarded to the [HSD Records Control Officer](#) for signature approval.

The HSD RCO will review and sign off as approved.

The HSD RCO will email the completed Records Destruction Form to City Clerk for final approval at [mailbox.city.clerk.department@phoenix.gov](mailto:mailbox.city.clerk.department@phoenix.gov)

### **Prime Copy Department**

If records are in the department, City Clerk will e-mail a memo to the HSD RCO stating the records destruction request has been approved.

Records are to be placed in the blue confidential receptacle bin with a secured lock and sent out for destruction.

When destruction is completed, the originating requestor is required to schedule an appointment with City Clerk (Phoenix City Hall, 15<sup>th</sup> floor), to sign off on the Certificate of Destruction portion of the Records Destruction form.

A copy of the completed form is provided to the HSD RCO for filing.

### **Customer Service Center**

If records are in the Customer Service Center, City Clerk staff will contact the HSD RCO to request submission of a Records Destruction Form.

HSD RCO will prepare and submit the forms to City Clerk for authorization.

Once approved, City Clerk staff will coordinate destruction of the records and subsequently complete the Certificate of Destruction.

A copy of the completed form is provided to the HSD RCO for filing.

# DEPARTMENT RETENTION SCHEDULE

## Human Services

| Record Series | Series Number | Office | Rec. Ctr. | Total | Start Point of Retention / Comments |
|---------------|---------------|--------|-----------|-------|-------------------------------------|
|---------------|---------------|--------|-----------|-------|-------------------------------------|

### Business and Workforce Development

|  |             |   |   |   |  |
|--|-------------|---|---|---|--|
| AZ @ Work Client Records (General Program Correspondence and Back-Up)            | HSD 12 2268 | 3 | 2 | 5 | After client relationship ceases or program ends |
| Workforce Innovation and Opportunities Act (WIOA), Customer Satisfaction Surveys | HSD 12 2269 | 1 |   | 1 | After calendar year when survey was conducted    |

### Community Service

|                                     |             |   |   |   |   |
|-------------------------------------|-------------|---|---|---|---|
| Landlord and Tenant Program Records | HSD 12 2280 | 2 | 2 | 4 | After date of report or after retention period required by contract is met. |
|-------------------------------------|-------------|---|---|---|---|

| Record Series | Series Number | Office | Rec. Ctr. | Total | Start Point of Retention / Comments |
|---------------|---------------|--------|-----------|-------|-------------------------------------|
|---------------|---------------|--------|-----------|-------|-------------------------------------|

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## CSID

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|                                   |             |   |   |   |                                    |
|-----------------------------------|-------------|---|---|---|------------------------------------|
| Community Services Client Records | HSD 12 2281 | 1 | 5 | 6 | Date the final service is provided |
|-----------------------------------|-------------|---|---|---|------------------------------------|

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## Education

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|   |             |   |   |   |                   |
|---|-------------|---|---|---|-------------------|
| Head Start Program, Health Care and Mental Health Records | HSD 12 2270 | 4 | 3 | 7 | After case closed |
|---|-------------|---|---|---|-------------------|

|  |             |   |  |   |                            |
|--|-------------|---|--|---|----------------------------|
| School Based Programs Counseling Records | HSD 12 1498 | 7 |  | 7 | After date of last contact |
|--|-------------|---|--|---|----------------------------|

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## General Records

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|                |             |   |   |   |  |
|----------------|-------------|---|---|---|--|
| Client Records | HSD 12 2113 | 2 | 3 | 5 | After termination of client relationship OR after fiscal year created or received, whichever comes later |
|----------------|-------------|---|---|---|--|

| Record Series              | Series Number | Office | Rec. Ctr. | Total | Start Point of Retention / Comments  |
|----------------------------|---------------|--------|-----------|-------|--|
| Individual Program Records | HSD 12 1494   | 5      |           | 5     | After termination of client relationship OR after fiscal year created or received, whichever comes later |

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## Management Services

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|                                |             |   |   |   |  |
|--------------------------------|-------------|---|---|---|--|
| Delegate Agency Fiscal Records | HSD 12 1499 | 2 | 3 | 5 | After agency approval of closeout submittal of grant award |
| Fiscal Budgetary Records       | HSD 12 1500 | 3 | 2 | 5 | After agency approval of closeout submittal of grant award |
| Head Start Payroll Records     | HSD 12 1501 | 3 | 1 | 4 | After fiscal year created or received                      |
| Needs Based Payments           | HSD 12 1502 | 2 | 3 | 5 | After fiscal year payment made                             |



| Record Series | Series Number | Office | Rec. Ctr. | Total | Start Point of Retention / Comments |
|---------------|---------------|--------|-----------|-------|-------------------------------------|
|---------------|---------------|--------|-----------|-------|-------------------------------------|

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## Senior Services

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|  |             |     |     |   |                                   |
|--|-------------|-----|-----|---|-----------------------------------|
| Senior Center - Client Related Records | HSD 12 1507 | 6 M | 4.5 | 5 | After last date of client contact |
|--|-------------|-----|-----|---|-----------------------------------|

|                                  |             |   |   |   |                           |
|----------------------------------|-------------|---|---|---|---------------------------|
| Senior Companion Program Records | HSD 12 1508 | 3 | 2 | 5 | After last date of record |
|----------------------------------|-------------|---|---|---|---------------------------|

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## Victim Services

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|   |             |   |   |   |   |
|---|-------------|---|---|---|---|
| Family Advocacy Center Victim of Crime Act (VOCA) | HSD 12 2262 | 3 | 4 | 7 | Until March 31st of the seventh year following the year indicated in the Federal Grant Number of the Subgrant Award Agreement |
|---|-------------|---|---|---|---|

# Customer Service Center Transmittal Form

City of Phoenix  
 City Clerk Department  
 Records Management Division  
 602-262-6811

City Clerk Customer Service Center  
 2640 South 22nd Avenue  
 602-262-4719



This form authorizes transmission of **inactive** records for off-site, secured storage in the City Clerk Customer Service Center warehouse facility. Records are considered inactive when no longer referenced or added to on a regular basis, but which are not eligible for destruction under the Retention Policy. All sections must be completed for form to be accepted. Active Records or Records referenced and/or retrieved on a regular basis will **not** be accepted for storage.

|                             |                             |                          |
|-----------------------------|-----------------------------|--------------------------|
| <b>1. DEPARTMENT</b>        | <b>2. DIVISION</b>          | <b>3. SECTION</b>        |
| <b>4. FORM PREPARED BY:</b> | <b>5. CONTACT PHONE NO.</b> | <b>6. DATE PREPARED:</b> |

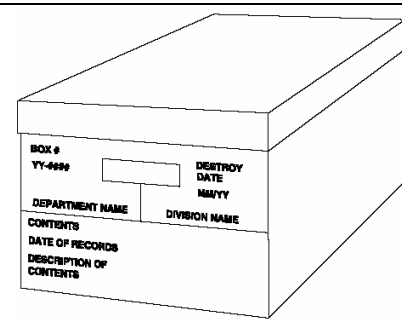
**7. Records being transmitted are stored in the Box:**     
 In Alphabetic Order     
 In Numeric Order     
 In Chronological Order

| 8. Box Number | 9. Record Series<br>(as listed in Records Retention Schedule) | 10. Total Retention<br>(In Years) | 11. Date Range of Records in Box |      | 12. Retention Schedule Reference<br>Record Series No. | 13. Date Eligible to Destroy | Records Center Use Only |          |
|---------------|---|-----------------------------------|----------------------------------|------|---|------------------------------|-------------------------|----------|
|               |   |                                   | From                             | Thru |   |                              | Shelf                   | Location |
|               |   |                                   |                                  |      |   |                              |                         |          |
|               |   |                                   |                                  |      |   |                              |                         |          |
|               |   |                                   |                                  |      |   |                              |                         |          |
|               |   |                                   |                                  |      |   |                              |                         |          |
|               |   |                                   |                                  |      |   |                              |                         |          |
|               |   |                                   |                                  |      |   |                              |                         |          |

|                                    |   |
|------------------------------------|---|
| <b>Special Notes/Instructions:</b> | <b>Department Approval to Transmit:</b> |
|                                    | <b>Records Control Officer</b>          |

**NOTE CALL CUSTOMER SERVICE CENTER PRIOR TO SHIPPING BOXES. ONLY ONE BOX PER LINE. NO DUPLICATE BOX NUMBERS. USE ONLY 703 STORAGE BOXES**

|   |
|---|
| <b>CUSTOMER SERVICE CENTER USE ONLY</b> |
| Boxes Received by: _____                |
| On Date: _____                          |



**LABELING STORAGE BOXES**  
**Use:** One (1) Cubic Foot 703 boxes only  
  
**Mark:** End of box using a bold, permanent marker  
  
 Place a copy of the transmittal form and inventory list inside each box.

## INSTRUCTIONS FOR FORM COMPLETION

Please refer to the Records Management Manual for retention periods and additional instructions.

1. Include the name of the Department submitting the form.
2. Include the name of the Division submitting the form.
3. Include the name of the Section submitting the form.
4. Provide the name of the primary contact person who can answer any questions about the form.
5. Provide the contact phone number.
6. Include the date when the transmittal request was prepared.
7. Indicate the primary file arrangement. Are the records in the box filed in alphabetic, numeric or chronological order.
8. Indicate Box Numbers. Each box must have a unique number. Box numbers (also recorded on the upper left hand corner of the Records box) are obtained from the department Records Control Officer.
9. Provide the name of the Record Series being transmitted. This must be the same as that used in the Records Retention Schedule.
10. Include the total retention period in years as indicated in the Total Column of the Records Retention Schedule.
11. Indicate the date range of records in the box. The beginning and end dates of the included records will assist in determining the date the records are eligible to be destroyed.
12. Provide the Page and Item number of the Record Series in the Retention Schedule which correspond to the boxed records.
13. Provide the date when the boxed records will be eligible for destruction. The destruction date is determined by the number of years indicated in the Records Retention Schedule. (Ending date of Records + Retention Period = Destruction Date)

**Reminders:**

- Pursuant to State Law, permanent records must be microfilmed and microfilm is the only "permanent record" which will be accepted at the warehouse.
- Only Inactive records will be accepted. Records/Files which, although infrequent, have additional materials added to them, are considered "active" records and should not be stored at the Customer Service Center.

Once the form is complete, it must be reviewed and signed by the department Records Control Officer. The boxes are then ready for transmittal to the Customer Service Center. **All shipments must be coordinated with Customer Service Center personnel.** Contact Center staff and interoffice or fax a copy of the Transmittal form. Staff will review the form, enter relevant information to the warehouse database, reserve shelf space for the boxes and coordinate a date and time which would work best for box delivery. After delivery, Staff will notify the prime copy department of the shelf location for each box. The Box Number, shelf location, and transmittal sheet are all valuable tools for quickly locating and retrieving records should the need arise.

| BOX INFORMATION             |   |
|-----------------------------|---|
| BOX #<br>YY-###             | DESTRUCTION DATE<br>MM/YY                                   |
| DEPARTMENT NAME<br>CONTENTS | DIVISION NAME<br>DATE OF RECORDS<br>DESCRIPTION OF CONTENTS |

- The box number must always be placed in the upper left corner and must be visible even when the box lid is on the box.
- The eligible destruction date will be placed in the upper right corner visible under the lid.
- Provide the name of the department and division.
- Provide the date range covered by the records in the box.
- A brief description of the box contents matching the language used in the retention schedule will help keep records identifiable.